



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C.

August 22, 2018

Sarah Kaiser Creighton  
Counsel  
American Oversight  
1030 15<sup>th</sup> Street NW, B255  
Washington, D.C., 20005  
[sara.creighton@americanoversight.org](mailto:sara.creighton@americanoversight.org)

**VIA EMAIL**

Re: *American Oversight v. Department of Veterans Affairs, et al.*, 1:18-cv-00656-BAH  
(D.D.C.): Treasury August 22 Production

Counsel:

This letter provides the U.S. Department of the Treasury (Treasury)'s first and final production of documents related to the above-referenced Freedom of Information Act litigation. The below request references are from the original FOIA request (2017-11-299), which encompasses the dates of July 13, 2017 through the date of the search, May 3, 2018.

In response to requests 1 and 2, we are producing a spreadsheet that includes the full name, appointment type, positions, and appointment dates of the individuals concerned.

In response to request 3, there were no members of "the transition teams or beachhead teams who have joined the agency in a full-time capacity, either as career, political, or administratively deemed positions since July 13, 2017."

We have located and are producing 70 pages responsive to request 4.a. Consistent with 5 U.S.C. § 552(b)(6), Treasury has redacted from these resumes certain details, such as salary histories and home addresses, phone numbers, and e-mail addresses, because releasing these details would cause an unwarranted invasion of the personal privacy of the individuals involved and the public interest in disclosing this information is minimal.

We have located and are producing 56 pages responsive to requests 4.b. and 4.c. Treasury has redacted from these documents certain pre-decisional and deliberative information pursuant to 5 U.S.C. § 552(b)(5), as well as certain commercial information related to 5 U.S.C. § 552(b)(4). It also has determined that portions of these documents must be withheld pursuant to 5 U.S.C. § 552(b)(3), which covers information specifically exempted from disclosure by statute (in this case, 50 U.S.C. § 4565(c)).

We have located 23 pages of SF-50 forms "reflecting any change in position or title" in response to request 4.d., and Treasury has redacted personal details of these individuals accordingly.

If you have any questions concerning this production or a related matter, please contact Jeremy Simon, U.S. Department of Justice, at [Jeremy.Simon@usdoj.gov](mailto:Jeremy.Simon@usdoj.gov) or (202) 252-2528.

Sincerely,

Paul

Levitan

Paul Levitan

Digitally signed  
by Paul Levitan

Date: 2018.08.22

20:00:47 -04'00'

Director of FOIA & Transparency  
Privacy, Transparency, and Records (PTR)  
U.S. Department of the Treasury

cc: Jeremy Simon, U.S. Department of Justice (via email)

Full Name	Appt Type	Positions Held	Appt Date	End Date	Notes
Alex, James	Sch C	Senior Advisor	2/5/2018		
Campbell, Chris	PAS	Assistant Secretary for Financial Institutions Policy	8/13/2017	7/28/2018	
Castellucci III, Donald	Sch C	Advance Representative	7/24/2017		
Danker, Richard	Sch C	Senior Advisor to the DAS, FSOC	4/29/2018		
Eisner, David	PA	Assistant Secretary for Management	4/30/2018		
Harter III, Lafayette (Chip)	NC SES	Deputy Assistant Secretary for International Tax Policy	9/5/2017		
Howell, Joseph	Sch C	Senior Advisor	2/11/2018		
Jurata, Rebecca Goshorn	NC SES	Deputy Assistant Secretary for International Financial Stabil	9/5/2017		
Jurata, Rebecca Goshorn	NC SES	Deputy Assistant Secretary for International Financial Mark	2/25/2018		
Kautter, David J.	PAS	Assistant Secretary for Tax Policy	8/16/2017		
Maloney, Andrew K.	PAS	Assistant Secretary for Legislative Affairs	8/14/2017	6/16/2018	
Malpass, David	PAS	Under Secretary for International Affairs	8/9/2017		
McIntosh, Brent James	PAS	General Counsel	8/16/2017		
Morgenstern, Brian	Sch C	Senior Advisor	8/21/2017		
Perry III, Gerald	Sch C	Acquisition Specialist	2/20/2018		
Phelan, Peter	NC SES	Deputy Assistant Secretary (Capital Markets)	4/16/2018		
Silk, Mitch	NC SES	Deputy Assistant Secretary for International Affairs	10/16/2017		
		Deputy Assistant Secretary, Investment, Energy, and			
Silk, Mitch	NC SES	Infrastructure	3/4/2018		
Sobczak, Mary	Sch C	Special Assistant	10/10/2017		
Tarbert, Heath P.	PAS	Assistant Secretary, International Affairs	10/10/2017		
Tyrrell, Katherine	NC SES	Deputy Executive Secretary	2/4/2018		
Workman, Thomas	PA	Member, Financial Stability Oversight Council	3/29/2018		



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

March 12, 2018

**MEMORANDUM FOR:** BRENT MCINTOSH  
GENERAL COUNSEL

**FROM:** Elizabeth A. Horton *EAH*  
Deputy Assistant General Counsel for Ethics

**SUBJECT:** Participation in a Certain CFIUS Matter per 5 C.F.R. § 2635.502

This memorandum memorializes the authorization I previously provided to you authorizing your participation in a certain Committee on Foreign Investment in the United States (CFIUS) matter if Wachtell, Lipton, Rosen & Katz (Wachtell) appears before Treasury as a representative of (b) (3) (A) in connection with the CFIUS review.

You are the General Counsel, a position you started in mid-August 2017. As head of the Treasury Legal Division, you are responsible for all legal work in the Department, with the exception of the legal work in the Office of the Comptroller of the Currency and the Offices of the Inspectors General. As the Treasury Department chairs CFIUS, one of your duties as General Counsel is to participate in CFIUS reviews. In general, your role in these reviews involves providing legal advice and analysis on questions relating to the form and nature of the transaction under review and CFIUS's powers with regard to that transaction.

Your spouse at times serves as a consultant to Wachtell, in which capacity she researches and drafts articles regarding corporate governance issues in collaboration with a partner of the firm several times per year. These articles are published in the *New York Law Journal* and list her as an author along with the Wachtell partner. (b) (6)

The Standards of Conduct prohibit you from participating in a "particular matter involving specific parties"<sup>1</sup> when "a person with whom you have a covered relationship is or represents a party" to the matter, and the circumstances would cause a reasonable person with knowledge of the relevant facts to question your impartiality in the matter. 5 C.F.R. § 2635.502(a)(1). During your spouse's periodic consulting with Wachtell, you have a "covered relationship" with the firm under 5 C.F.R. § 2635.502(b)(1)(iii). A CFIUS review qualifies as a particular matter involving specific parties.

<sup>1</sup> A particular matter involving specific parties "typically involves a specific proceeding affecting the legal rights of the parties, or an isolatable transaction or related set of transactions between identified parties."

5 C.F.R. § 2640.102(1). Examples of particular matters involving specific parties include contracts, grants, licenses, product approval applications, litigation, and investigations.



Under section 2635.502(d), even where an employee's participation likely would create an appearance of partiality, "the agency designee may authorize the employee to participate in the matter based on a determination, made in light of all relevant circumstances, that the interest of the Government in the employee's participation outweighs the concern that a reasonable person may question the integrity of the agency's programs and operations." Factors that may be taken into consideration include the following:

- 1) the nature of the relationship involved;
- 2) the effect that resolution of the matter would have on the financial interests of the person involved in the relationship;
- 3) the nature and importance of the employee's role in the matter;
- 4) the sensitivity of the matter;
- 5) the difficulty of reassigning the matter to another employee; and
- 6) adjustments that may be made in the employee's duties that would reduce or eliminate the likelihood that a reasonable person would question the employee's impartiality.

*Id.* at § 2635.502(d).

It is not clear that Wachtell, either now or in the future, will represent (b) (3) (A) in the CFIUS matter before Treasury. (b) (3) (A) has retained specialist CFIUS counsel from another law firm for purposes of representing it in the CFIUS process, and that law firm has in fact been representing (b) (3) (A) in the CFIUS process in connection with the transaction at issue. Wachtell has not traditionally been known to have a CFIUS practice and appears to be involved in the proposed transaction as M&A counsel, not CFIUS counsel. However, out of an abundance of caution, I authorized your participation in the (b) (3) (A) CFIUS review for the following reasons:

- Your spouse does not have any equity interest in Wachtell. She is not an employee of the firm and has no other financial ties to Wachtell (b) (6).
- Your spouse's work for Wachtell is unrelated to CFIUS.
- Prior to joining Treasury, you were a partner at Sullivan & Cromwell. At that firm, you did not personally represent Wachtell in any capacity, including in any CFIUS matters.
- Given the importance of this specific CFIUS matter and your role as General Counsel, reassigning the matter to another attorney would not be in the best interest of the Treasury. (b) (3) (A) who would look to the General Counsel of the Treasury Department (which chairs CFIUS) to participate in the review. Moreover, you have informed me that it would be difficult to substitute another senior attorney (b) (3) (A) particularly on short notice.
- You are unaware of any financial effect that resolution of the matter would have on Wachtell, and you do not believe that resolution of the matter would have any effect—financial or otherwise—on your spouse's periodic consulting with Wachtell.

Paragraph 6 of the President's Ethics Pledge prohibits political appointees from participating personally and substantially, during the first two years after entering federal service, in any particular matter involving former employers or clients the employees served in the two years prior to entering federal service. Because you did not work for Wachtell or represent Wachtell during this time period, paragraph 6 of the President's Ethics Pledge is not implicated here. Therefore, a waiver is not required.



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

November 16, 2017

**ACTION MEMORANDUM FOR HEATH TARBERT  
ASSISTANT SECRETARY  
INTERNATIONAL MARKETS & DEVELOPMENT**

**FROM:**

**Brian Sonfield** <sup>b5</sup>  
**Assistant General Counsel**  
**General Law, Ethics & Regulation**  
**and Designated Agency Ethics Official**

**SUBJECT:**

**Waivers under 18 U.S.C. § 208(b)(1)**

**Recommendation**

That you initial the attached waivers.

*[Signature]*

Approve

Disapprove

Let's Discuss

**Background**

The criminal conflict of interest statute, 18 U.S.C. § 208, is triggered when an Executive Branch official participates personally and substantially in any particular matter in his or her official capacity that has a direct and predictable effect on his or her own financial interests or those of any person or entity for which financial interests are imputed to the employee. Imputed financial interests include any non-federal entity for which the employee serves as officer, director, or trustee. As a result, Executive Branch officials who serve as officers, directors, or trustees in their official capacity with non-federal entities have an inherent conflict of interest since they are participating personally and substantially in particular matters in their federal capacity at the same time that they have an imputed financial interest in the outside organization in which they serve. While there is a regulatory exemption from this statute for official service in non-profit organizations, 5 C.F.R. § 2640.203(m), the U.S. Office of Government Ethics (OGE) has made clear that this exemption “refers to only those organizations that are not organized for profit and that receive tax-exempt status under any subsection of section 501 of the Internal Revenue Code (title 26). Thus, for example, a nonprofit corporation established under the laws of a foreign nation that is not tax-exempt under section 501 of the Internal Revenue Code would not qualify for the exemption.” OGE LA 13-05 (April 9, 2013), at 4.

However, OGE provides agencies with the opportunity to issue waivers under the statute in scenarios, like those presented here, not covered by the exemption but that do not pose practical conflict of interest concerns. Attached are two such waivers for Deputy Assistant Secretary Mitchell Silk to participate in his Treasury capacity on the Green Climate Fund (GCF) board and

the Pacific Catastrophe Risk Insurance Foundation (PCRIF). These waivers will need to be signed before Larry McDonald can notify the GCF and PCRIF that Mitchell Silk will replace him.

### **Attachments**

Waiver under 18 U.S.C. § 208(b)(1) to Participate in the Pacific Catastrophe Risk Insurance Foundation

Waiver under 18 U.S.C. § 208(b)(1) to Participate in the Green Climate Fund





DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

**MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY MITCHELL SILK**

**FROM:**

Heath Tarbert *H.T.*  
Assistant Secretary  
International Markets and Development

Brian Sonfield *BS*  
Assistant General Counsel  
General Law, Ethics & Regulation  
and Designated Agency Ethics Official

**SUBJECT:**

Waiver under 18 U.S.C. § 208(b)(1) to Participate in the Green Climate Fund

You are currently the Deputy Assistant Secretary for Energy, Infrastructure, and Environment in the Office of International Affairs at the U.S. Department of the Treasury. This memorandum provides a waiver, pursuant to 18 U.S.C. § 208(b)(1), to allow you to participate in particular matters affecting the Green Climate Fund (GCF or Fund), established under the laws of South Korea.

As an Executive Branch employee, you are prohibited under 18 U.S.C. § 208(a) from participating personally and substantially in an official capacity in any particular matter that has a direct and predictable effect on your financial interests or those of any person whose interests are imputed to you, unless you first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

The United States will designate you to be a Board member on the Board of the GCF which means that the financial interests of the GCF will be imputed to you under 18 U.S.C. § 208(a). However, under 18 U.S.C. § 208(b)(1), we have determined, based on the information discussed below, that your imputed interest will not be so substantial as to be deemed likely to affect the integrity of the services which the government may expect from you.

The GCF is a multilateral trust fund designed to foster resilient, low-emission development in developing countries. The GCF uses a range of financial instruments to support projects across multiple sectors, including transport, water and other infrastructure, energy generation and efficiency, agriculture, and forestry. The GCF is supported by a broad donor base, with \$10.3 billion pledged in its initial phase from 47 governments. In 2014, the United States pledged to the initial resource mobilization of the GCF and has provided a total of \$1 billion to the GCF in 2016 and January 2017. There was no funding for the GCF in the proposed U.S. FY2018 budget.

In your capacity as the U.S. Board member, your responsibilities will include overseeing the operation of the Fund, approving operational policies and guidelines, making funding decisions

for projects, reviewing and approving the administrative budget for the Fund, and appointing senior management of the Fund.

Your work at the GCF will assist in implementing the policies of the United States in international energy, environment, and climate areas, working in a close relationship with and under the guidance of senior Treasury, White House, and State Department officials. Your key decisions as a Board member are usually taken after consultation with and input from relevant U.S. government agencies. You are not permitted to perform any functions for the GCF outside of your official Treasury duties to the organization. You will not receive any compensation from the GCF, such as per diem for hotels, meals and other benefits, and you will not personally approve federal travel arrangements for yourself or other Treasury staff to attend Board meetings.

Therefore, we have concluded that your financial interest is not so substantial as to be likely to affect the integrity of your services to the government. With this waiver, in your official capacity you may work on all particular matters affecting the GCF.

The Office of Government Ethics has been consulted and provided a copy of this waiver.





DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

**MEMORANDUM FOR DEPUTY ASSISTANT SECRETARY MITCHELL SILK**

**FROM:**

Heath Tarbert *H.T.*  
Assistant Secretary  
International Markets and Development

Brian Sonfield *B.S.*  
Assistant General Counsel  
General Law, Ethics & Regulation  
and Designated Agency Ethics Official

**SUBJECT:**

Waiver under 18 U.S.C. § 208(b)(1) to Participate in the Pacific  
Catastrophe Risk Insurance Foundation

You are currently the Deputy Assistant Secretary for Energy, Infrastructure, and Environment in the Office of International Affairs at the U.S. Department of the Treasury. This memorandum provides a waiver, pursuant to 18 U.S.C. § 208(b)(1), to allow you to participate in particular matters affecting the Pacific Catastrophe Risk Insurance Foundation (PCRIF) established under Cook Islands law and located in the Cook Islands.

As an Executive Branch employee, you are prohibited under 18 U.S.C. § 208(a) from participating personally and substantially in an official capacity in any particular matter that has a direct and predictable effect on your financial interests or those of any person whose interests are imputed to you, unless you first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

You are proposed to be a Foundation Council Member for the PCRIF, representing the United States as a donor country to the Pacific Catastrophe Risk Insurance Facility (Facility), which means that the financial interests of the PCRIF will be imputed to you under 18 U.S.C. § 208(a). However, under 18 U.S.C. § 208(b)(1), we have determined, based on the information discussed below, that your imputed interest will not be so substantial as to be deemed likely to affect the integrity of the services which the government may expect from you.

The Facility aims to provide the Pacific Island countries and certain regional agencies with access to disaster risk insurance products and technical assistance for disaster risk management tools and disaster risk financing strategies. The United States has contributed \$8 million in FY2015 funding from the State Department Economic Support Fund to a World Bank multi-donor trust fund that will support the Facility. Under our agreement with the State Department, Treasury is to exercise close oversight over the activities of the Facility.

In your capacity as Foundation Council Member, your responsibilities will include administering and managing PCRIF capital and exercising policy oversight over the Pacific Catastrophe Risk Insurance Company that is solely owned by the PCRIF.

Most importantly, your work at the PCRIF will be to assist in implementing the policies of the United States regarding disaster risk insurance, in a close relationship with and under the guidance of senior Treasury officials. Your key decisions as a Foundation Council Member will be taken after close consultation with and input from all interested U.S. government agencies, and you are not permitted to perform any functions for the PCRIF outside of your official Treasury duties to the organization. You will not receive any compensation from the PCRIF, such as per diem for hotels, meals and other benefits, and you will not personally approve federal travel arrangements for yourself or other Treasury staff to attend Council meetings.

Therefore, we have concluded that your financial interest is not so substantial as to be likely to affect the integrity of your services to the government. With this waiver, in your official capacity you may work on all particular matters affecting the PCRIF.

The Office of Government Ethics has been consulted and provided a copy of this waiver.





DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

November 3, 2017

**MEMORANDUM FOR HEATH TARBERT**

**ASSISTANT SECRETARY, INTERNATIONAL MARKETS  
AND DEVELOPMENT**

**FROM:**

Elizabeth A. Horton *EAH*  
Deputy Assistant General Counsel (Ethics) & Alternate  
Designated Agency Ethics Official

**SUBJECT:**

**Your Participation in Matters Involving the World Bank's  
Group International Finance Corporation**

This memorandum serves to authorize your participation as Assistant Secretary for International Markets and Development in particular matters where the World Bank's Group International Finance Corporation (IFC) is a party or represents a party.<sup>1</sup>

Prior to joining Treasury, you were a partner at Allen & Overy, LLP, an international law firm. In mid to late 2015, and culminating in January 2016, you answered a discrete and ancillary question that arose from Allen & Overy's representation of the IFC on a matter with which you were not otherwise involved. You were asked to determine (b) (4), (b) (5) [REDACTED]. According to firm billing records, you spent a total of 5 hours and 24 minutes on this question. This included one telephone call with lawyers from the IFC and no other contact or face-to-face meetings with officials or employees of the IFC. You have no financial interests in or other ties to the IFC or the World Bank Group.

Because your representation of the IFC occurred outside of the one-year time period provided for in 5 CFR § 2635.502(b)(1)(iv), you do not have a covered relationship with the IFC. Further, we have determined that your limited representation of the IFC would not lead a reasonable person with knowledge of the relevant facts to question your impartiality.

In your Ethics Agreement you agreed to seek written authorization to participate in IFC matters. Accordingly, this memorandum serves to fulfill your ethics commitments.


<sup>1</sup> By separate memorandum White House Counsel approved a waiver of paragraph 6 of the Ethics Pledge, EO 13770.



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

April 5, 2018

**MEMORANDUM FOR**      **THOMAS WORKMAN**

**FROM:**                      Elizabeth A. Horton   
                                    Alternate Designated Agency Ethics Official

**SUBJECT:**                      Waiver under 18 U.S.C. § 208(b)(1)

This memorandum provides a waiver, pursuant to 18 U.S.C. § 208(b)(1), which will allow you to participate in your position as Member, Financial Stability Oversight Council, in particular matters affecting the underlying holdings of the Hatteras Core Alternatives TEI Institutional Fund, L.P. (HCA Fund).

As an Executive Branch employee, you are prohibited under 18 U.S.C. § 208(a) from participating personally and substantially in any particular matter in which you know that you have a financial interest directly and predictably affected by the matter, or in which you know that a person whose interests are imputed to you has a financial interest directly and predictably affected by the matter, unless you first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

You were confirmed as Member, Financial Stability Oversight Council, on March 21, 2018. In that position, you bring many years of insurance industry experience as the independent insurance expert to a body consisting of 10 voting members and 5 nonvoting members who provide comprehensive monitoring of the stability of our nation's financial system.

In light of these matters, I have reviewed the information provided on your financial interests and the financial interests imputed to you, including your holding in the HCA Fund, a private investment fund managed by Hatteras Funds, L.P. The HCA Fund follows a fund-of-funds investment strategy, and currently the portfolio of the HCA Fund consists of (b)(4) underlying investment funds, which, in turn, invest in other assets. You do not exercise control or have the ability to exercise control over the financial interests held by the HCA Fund. You have indicated that the HCA Fund does not have a stated policy of concentrating its investments in any industry, business, or single country. You are aware of the names of the first tier funds held by the HCA Fund, but Hatteras Funds, L.P., will not provide you with any further information regarding the investment funds held by the HCA Fund, including their holdings. You have also indicated that you lack any independent knowledge of the assets held by those underlying investment funds. However, it is possible that the HCA Fund could invest in a fund that, on its face, concentrates in financial services.

Given that you lack knowledge of the assets held by the investment funds within the HCA Fund, it is unlikely that you could participate in a particular matter that you know would have a direct and predictable effect on the financial interests of one of those funds. This lack of knowledge poses a threshold question as to whether you would be prohibited by 18 U.S.C. § 208(a) from



participating in any particular matters as Member based on your interest in the HCA Fund. You indicated that you would be willing to divest your interest in the HCA Fund out of an abundance of caution were it possible to do so, because you do have limited knowledge of the first tier holdings of the HCA Fund. However, due to the terms of your investment, you are unable to sell the interest until approximately the spring of 2020. Your financial interest in the HCA Fund is approximately (b) (6) and constitutes approximately (b) (6) of your investment portfolio and an even smaller percentage of your total net worth.

Based on the totality of the circumstances and the limitations stated below, we have determined that the financial interests subject to this waiver are not so substantial as to be deemed likely to affect the integrity of your services to the government. Therefore, we grant you this waiver under 18 U.S.C. § 208(b)(1), which authorizes you to participate in any particular matters affecting the underlying holdings of the HCA Fund, within the parameters outlined below.

In determining that a waiver is warranted under 18 U.S.C. § 208(b)(1), we have considered a number of factors, including the following:

- The HCA Fund is independently managed. You neither exercise control nor have the ability to exercise control over the investment funds held within the HCA Fund.
- You have indicated that you lack knowledge of the underlying assets held by the investment funds within the HCA Fund.
- You have indicated that the HCA Fund currently invests in (b) (4) investment funds and does not have a stated policy of concentrating its investments in any industry, business, or single country. Given the lack of a stated policy of concentration and the number of investment funds held by the HCA Fund, it is unclear to what extent your financial interest in the HCA Fund, as a whole, would be affected by a particular matter affecting one or more assets held by an investment fund, which is, in turn, held by the HCA Fund.
- The HCA Fund constitutes a small percentage of your investment portfolio.
- The terms of your investment foreclose the possibility of selling within a reasonable time period.

This waiver is subject to the following limitations:

- You understand that this waiver covers only particular matters that affect the underlying holdings of the HCA Fund, not the HCA Fund as a separate entity.
- You and your spouse have agreed not to make further investments in the HCA Fund.

The Office of Government Ethics has been consulted and provided a copy of this waiver. In addition, a copy of this waiver will be made available upon request to the public in accordance with the procedures described in 5 C.F.R. § 2640.304.

June 30, 2017

Rochelle F. Granat  
Assistant General Counsel  
(General Law, Ethics & Regulation)  
and Designated Agency Ethics Official  
U.S. Department of the Treasury  
1500 Pennsylvania Avenue, N.W.  
Washington, D.C. 20220

Dear Ms. Granat:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary of the Treasury (Financial Institutions).

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

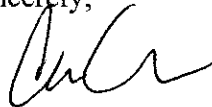
If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds.

I understand that as an appointee I am required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

I will meet in person with you during the first week of my service in the position of President in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will also document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink, appearing to read 'Campbell', written over the word 'Sincerely,'.

Christopher E. Campbell

May 14, 2017

Rochelle F. Granat  
Assistant General Counsel  
(General Law, Ethics & Regulation)  
and Designated Agency Ethics Official  
U.S. Department of the Treasury  
1500 Pennsylvania Avenue, N.W.  
Washington, D.C. 20220

Dear Ms. Granat:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary for Tax Policy of the Department of the Treasury.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner, or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will withdraw from the partnership of RSM US LLP. I currently have a capital account with the firm, and I will receive a refund of that account after my resignation. However, the firm may withhold a portion of my capital account as a reserve for account reconciliations and tax payments that the firm makes on behalf of its partners. I will receive a balance of my capital account no later than April 2018. Pursuant to the firm's partnership agreement, I will receive a payout of my partner draw account and a *pro rata* partnership share based on the value of my partnership interests for services performed in fiscal year 2017, which ended on April 30, 2017. Because I was a partner at the firm as of April 30, 2017, I will receive an additional partnership share that will be based upon my performance against my employment goals. I will receive this additional partnership share before I assume the duties of the position of Assistant Secretary for Tax Policy. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of RSM US LLP to provide these payments, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). For a period of two years after my receipt of these payments, I also will not participate personally and substantially in any particular matter involving specific parties in which I know the firm is a party or represents a party, unless I first receive a written waiver pursuant to 5 C.F.R. § 2635.503(c). In addition, I will not participate personally and

substantially in any particular matter involving specific parties in which I know a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation, I will resign from my positions with American University and Tax Analysts. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know these entities are a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I resigned from the partnership of Ernst & Young LLP in January 2010. At the time of my resignation, my partnership agreement with Ernst & Young entitled me to tax preparation services and participation in the retiree medical plan for life. I also continue to participate in the Ernst & Young qualified defined benefit plan and non-qualified defined benefit retirement plan. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of Ernst & Young to provide these contractual benefits to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

Within 90 days of my confirmation, I will divest my interests in the following entities: iShares MSCI Canada ETF; iShares MSCI India Small Cap ETF; and iShares MSCI Mexico Capped ETF. With regard to each of these entities, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I understand that I may be eligible to request a Certificate of Divestiture for qualifying assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed-upon timeframes and that all proceeds are invested in non-conflicting assets.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds.

I will meet in person with you during the first week of my service in the position of Assistant Secretary for Tax Policy in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink, appearing to read "David J. Kautter", written in a cursive style.

David J. Kautter



Rochelle Granat  
Designated Agency Ethics Official  
Office of the General Counsel  
U.S. Department of the Treasury  
1500 Pennsylvania Ave., NW  
Washington D.C., 20220

Dear Ms. Granat:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary for Legislative Affairs of the Department of the Treasury.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I will divest my interests in the following entities within 90 days of my confirmation: Carlyle Ireland Fund, General Electric, Bank of America Corporation, Zions Bancorporation, BB&T Corporation, Huntington Bancshares Incorporated, KeyCorp, Hartford Financial Services, J.P. Morgan Chase & Company, Cigna, United Bankshares Inc., Alpha Keys Cinven Fund, Blackstone Strategic Alliance Fund, Greenhill Capital Partners, Lightyear Fund II, L.P., Alpha Keys Real Estate Opportunity Fund, Southeast Land Company and Oppenheimer Holdings Incorporated. With regard to each of these entities, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of these entities until I have divested them, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

Upon confirmation, I will resign from my position with Hess Corporation. Because I will continue to own common stock in Hess Corporation, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Hess Corporation, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I do not own any shares of Hess Corporation phantom stock; vested restricted stock; or vested or unvested stock options for shares in Hess Corporation. I will forfeit my unvested

restricted stock upon my separation. I will receive a payment that is calculated based on a pro-rated share of my unvested restricted stock at the time of my separation before I assume the duties of the position of Assistant Secretary. I also will forfeit my performance share units upon my separation. I will receive a payment from Hess Corporation that is calculated based on a pro-rated share of my performance share units at the time of my separation before I assume the duties of the position of Assistant Secretary. For a period of two years after my receipt of these payments, I will not participate personally and substantially in any particular matter involving specific parties in which I know Hess Corporation, is a party or represents a party, unless I first receive a written waiver pursuant to 5 C.F.R. § 2635.503(c).

Following my resignation, I will receive a severance payment from Hess Corporation, as is the corporation's practice for departing executive members. I will receive this payment before I assume the duties of the position of Assistant Secretary. I will also receive a bonus for the work I performed during calendar year 2017 up to the date of departure from the company, as is the corporation's practice for departing executive members. I will receive this payment before I assume the duties of the position of Assistant Secretary. I will also receive a payment for the Long Term Incentive Grant for the work I performed during calendar year 2017 up to the date of departure from the company, as is the corporation's practice for departing executive members. I will receive this payment before I assume the duties of the position of Assistant Secretary. For a period of two years after my receipt of these payments, I will not participate personally and substantially in any particular matter involving specific parties in which I know Hess Corporation, is a party or represents a party, unless I first receive a written waiver pursuant to 5 C.F.R. § 2635.503(c).

My spouse is employed by Johns Hopkins University in a position for which she receives a fixed annual salary. For as long as my spouse continues to work for Johns Hopkins University, I will not participate personally and substantially in any particular matter involving specific parties in which I know Johns Hopkins University is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I will resign from my trustee positions with the Meridian International Center and Randolph Macon College. I will also resign from the board of directors of the Business Government Relations Council and from the public affairs council of the U.S. Chamber of Commerce. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know any of these entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I will retain my position as a trustee of the AKM Revocable Living Trust and the SKM Revocable Living Trust. I will not receive any fees for the services that I provide as a trustee during my appointment to the position of Assistant Secretary. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of these trusts, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).



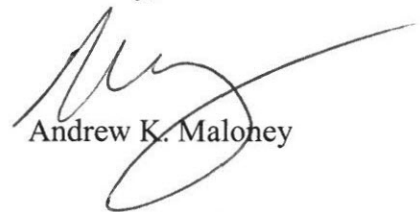
I use the services of an investment professional and I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds.

I will meet in person with you during the first week of my service in the position of Assistant Secretary in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink, appearing to read 'Andrew K. Maloney', with a large, sweeping flourish extending from the end of the signature.

Andrew K. Maloney

March 20, 2017

Rochelle F. Granat  
Assistant General Counsel  
(General Law, Ethics & Regulation)  
and Designated Agency Ethics Official  
U.S. Department of the Treasury  
1500 Pennsylvania Avenue, N.W.  
Washington, D.C. 20220

Dear Ms. Granat:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Under Secretary for International Affairs at the U.S. Department of the Treasury.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I am the sole owner and president of Encima Global LLC, an economic research and consulting firm. In January 2017, I sold most of the assets of this company to Strategas Research Partners but retained the business name and accounts receivable, all of which are described in the next paragraph. The company will continue to exist as a legal entity while I wind down the business. I will not perform any services for this company, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to wind down the entity. As Under Secretary, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Encima Global LLC, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). For a period of one year after the sale of Encima Global LLC to Strategas Research Partners, I will not participate personally and substantially in any particular matter involving specific parties in which I know Strategas Research Partners is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). In addition, I will not participate personally and substantially in any particular matter involving specific parties in which I know a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I am expecting to receive payments for services rendered through Encima Global LLC from the following former clients: JP Morgan and Morgan Stanley. I will forfeit any payment or portion of a payment that I have not received when I assume the duties of the position of Under Secretary. If I receive a payment from any of these entities prior to assuming the duties of Under Secretary, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party for a period of two years from the date on which I receive the payment, unless I first receive a written waiver pursuant to 5 C.F.R. § 2635.503(c). I am not owed payments from any other clients of Encima Global LLC.

I will receive a redemption payment from Convector Capital Management for a previous investment that I no longer hold. This receivable is disclosed in the financial disclosure report that I signed on January 3, 2017, and the amount owed to me is fixed. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of Convector Capital Management to make this payment, unless I first obtain a written waiver, pursuant to 18 U.S.C. §208(b)(1).

Upon confirmation, I will resign from my positions with the following entities:

1. New Mountain Financial Corporation
2. Forbes Magazine
3. Manhattan Institute
4. GKCC Gary Klinsky Children's Center
5. UBS Managed Municipal Trust
6. UBS Investment Trust
7. UBS Money Series
8. Pace Select Advisors Trust
9. UBS RMA Money Market Inc.
10. UBS Master Trust
11. UBS RMA Tax-Free Fund Inc.
12. Strategic Global Income Fund, Inc.
13. Global High Income Fund Inc.
14. Managed High Yield Plus Fund Inc.
15. UBS Asset Management (Americas) Inc.

For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Within 90 days of confirmation, I will divest my interests in New Mountain Financial Corporation. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of this entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).


I understand that I may be eligible to request a Certificate of Divestiture for qualifying assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed upon timeframes and that all proceeds are invested in non-conflicting assets.

I will meet in person with you during the first week of my service in the position of Under Secretary in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will also document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order no. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,



David R. Malpass



April 25, 2017

Rochelle F. Granat  
Assistant General Counsel  
(General Law, Ethics & Regulation)  
and Designated Agency Ethics Official  
U.S. Department of the Treasury  
1500 Pennsylvania Avenue, N.W.  
Washington, D.C. 20220

Dear Ms. Granat:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of General Counsel of the Department of the Treasury.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner, or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will withdraw from the partnership of Sullivan & Cromwell LLP. Pursuant to the firm's partnership agreement, I will receive a payout of my capital account, a termination payment based on an objective formula, and a *pro rata* partnership share for services performed in 2017. All payments will be based solely on the firm's earnings through the date of my withdrawal and will be paid within 60 days of my withdrawal from the firm. In addition, I will divest my interests in the 125 Broad Street Fund III, LLC, before I assume the duties of the position of General Counsel. I will continue to participate in the Sullivan & Cromwell LLP Defined Benefit Plans for Partners.

Because I will receive the aforementioned payments and continue to participate in the Sullivan & Cromwell LLP Defined Benefit Plans for Partners, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of Sullivan & Cromwell LLP to provide these payments and contractual benefits, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). For a period of one year after my withdrawal, I also will not participate personally and substantially in any particular matter involving specific parties in which I know the firm is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). In addition, I will not

participate personally and substantially in any particular matter involving specific parties in which I know a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I resigned from my position with the Ahn Family Foundation in December 2016. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know the Ahn Family Foundation is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse is a consultant for the law firm Wachtell, Lipton, Rosen & Katz. For as long as my spouse continues to provide these services for Wachtell, Lipton, Rosen & Katz, I will not participate personally and substantially in any particular matter involving specific parties in which I know Wachtell, Lipton, Rosen & Katz is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Within 90 days of my confirmation, I will divest my interests in the entities identified in Attachment A. With regard to each of these entities, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I understand that I may be eligible to request a Certificate of Divestiture for qualifying assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed-upon timeframes and that all proceeds are invested in non-conflicting assets.

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds.

I will meet in person with you during the first week of my service in the position of General Counsel in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.



I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,



Brent J. McIntosh

## ATTACHMENT A

1. Bancolombia S.A. Sp ADR PFD (CIB)
2. Bank Rakyat Indonesia (BKRKF)
3. BlackRock Inc. (BLK)
4. Citigroup Inc. (C)
5. Deltec Emerging Market Income Fund LP
6. Deltec Forum Fund LP
7. Grupo Aval Acciones y Valores S.A. (AVAL)
8. ICON Healthcare Fund Class S (ICHCX)
9. Intercontinental Exchange Inc. (ICE)
10. iShares MSCI India (INDA)
11. iShares MSCI Japan (EWJ)
12. Itau Unibanco Holding S.A. preferred ADR (ITUB)
13. JPMorgan Chase & Co. (JPM)
14. T. Rowe Price Group Inc. (TROW)
15. Toll Brothers Inc. (TOL)
16. Vanguard Mortgage-Backed Securities Index Fund ETF (VMBS)
17. WisdomTree Japan Hedged Equity Fund (DXJ)

April 5, 2017

Rochelle F. Granat  
Assistant General Counsel  
(General Law, Ethics & Regulation)  
and Designated Agency Ethics Official  
U.S. Department of the Treasury  
1500 Pennsylvania Avenue, N.W.  
Washington, D.C. 20220

Dear Ms. Granat:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Secretary for International Markets & Development at the U.S. Department of the Treasury.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my positions with the following entities: Harvard Law School, the Review of Banking & Financial Services, the Review of Securities & Commodities Regulation, Bloomberg BNA Banking Report, and The Banking Law Journal. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation, I also will withdraw from the partnership of Allen & Overy LLP. Pursuant to the partnership agreement, I will receive a refund of my capital account, calculated as of the date of my withdrawal. Pursuant to the partnership agreement, I will also receive my final partnership share distribution for the period through the date of my withdrawal, calculated using an objective formula. Until I receive all amounts owed to me by the firm, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the willingness of the firm to pay amounts owed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

For a period of one year after my resignation from Allen & Overy LLP, I also will not participate personally and substantially in any particular matter involving specific parties in

which I know this firm is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). In addition, I will not participate personally and substantially in any particular matter involving specific parties in which I know a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Regarding my former client International Finance Corporation (“IFC”), a member of the World Bank Group, I will seek written authorization to participate in particular matters involving specific parties in which IFC is a party or represents a party. I also will seek a waiver of the provisions of paragraph 6 of the Ethics Pledge under Executive Order 13770 with regard to IFC.

I also am owed a refund of my partner capital account with my former employer, Weil, Gotshal & Manges, LLP. Until I receive this refund, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the willingness of the firm to pay this refund, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), obligations of the United States, or municipal bonds.

I will meet in person with you during the first week of my service in the position of Assistant Secretary in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will also document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,



Heath Price Tarbert



October 31, 2017

Elizabeth A. Horton  
Deputy Assistant General Counsel  
(General Law, Ethics & Regulation)  
and Alternate Designated Agency Ethics Official  
U.S. Department of the Treasury  
1500 Pennsylvania Avenue, N.W.  
Washington, D.C. 20220

Dear Ms. Horton:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Member, Financial Stability Oversight Council (FSOC), Department of the Treasury.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation and prior to assuming the duties of the position, I will resign from my position as a director of the Insurance Federation of New York, Inc. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which I know that the Insurance Federation of New York, Inc., is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I will retain my position as trustee of my own revocable trust (Revocable Trust #1). I will not receive any fees for the services that I provide during my appointment to the position of Member, FSOC. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of this trust, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

My term as a director of Ohio Farmers Insurance Company ended in October 2017. As a director of Ohio Farmers Insurance Company, I am entitled to receive a portion of my director's fees as non-deferred compensation and that portion has been paid to me. The remaining

director's fees owed to me are deferred and are a fixed sum that will earn a fixed rate of interest until fully paid by the end of January 2018. Until I receive full payment, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of Ohio Farmers Insurance Company to honor its contractual obligation, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1). In addition, for a period of one year after my term ended, I will not participate personally and substantially in any particular matter involving specific parties in which I know Ohio Farmers Insurance Company is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

As the former president and CEO of the Life Insurance Council of New York, Inc., I am entitled to receive payments over the remaining four, of the original five, payout years under the 457(b) retirement plan I have with that entity. Until I receive full payment, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of Life Insurance Council of New York, Inc., to honor its contractual obligation, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

Within 90 days of my confirmation, I will divest my interests in the following entities: Berkshire Hathaway, Chubb Corporation, General Electric, HSBC Holdings, JP Morgan Chase, Metropolitan Life, Travelers Companies, and Wells Fargo. Within 180 days of my confirmation, I will divest my interest in Stonehenge Opportunity Fund IV. With regard to each of these entities, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I will request a written waiver pursuant to 18 U.S.C. § 208(b)(1) regarding my financial interest in the Hatteras Core Alternatives TEI Institutional Fund, L.P. Until I have obtained such a waiver, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of this entity.

I will retain my financial interests in the PIMCO Corporate Opportunities Fund II, L.P. ("the Fund"). I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the Fund, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). You have advised me that, at this time, I do not need to divest my interests in the Fund because the likelihood that my duties will involve such matters is remote. However, I understand that I am personally responsible for avoiding conflicts of interest with respect to the Fund and its holdings, and I will monitor the investment information made available to me regarding the Fund and consult with you as appropriate. If in the future the holdings of the Fund are determined to pose a conflict with the performance of my official duties, then I may be directed to divest my interest in the Fund. In that event, I will do so within 120 days of such order.

I understand that I may be eligible to request a Certificate of Divestiture for qualifying assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed upon timeframes and that all proceeds are invested in non-conflicting assets.

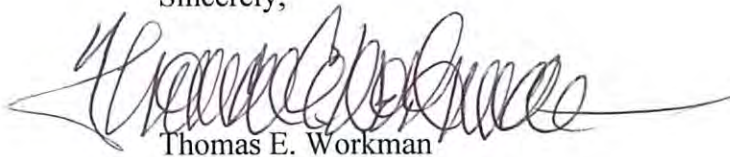
If I have a managed account or otherwise use the services of an investment professional during my appointment, I will ensure that the account manager or investment professional obtains my prior approval on a case-by-case basis for the purchase of any assets other than cash, cash equivalents, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), or obligations of the United States.

I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13770) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I will meet in person with you during the first week of my service in the position of Member, FSOC, in order to complete the initial ethics briefing required under 5 C.F.R. § 2638.305. Within 90 days of my confirmation, I will document my compliance with this ethics agreement by notifying you in writing when I have completed the steps described in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink, appearing to read "Thomas E. Workman", with a long horizontal flourish extending to the right.

Thomas E. Workman



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

October 2, 2017

**ACTION MEMORANDUM**

**TO:** DONALD F. McGAHN  
WHITE HOUSE COUNSEL

**FROM:** Elizabeth A. Horton *EAC*  
Deputy Assistant General Counsel for Ethics and  
Alternate Designated Agency Ethics Official

**SUBJECT:** Limited Waiver of Ethics Pledge Paragraph 6 for Heath Price Tarbert

**RECOMMENDATION**

The Senate has confirmed Heath Tarbert, as the Department of the Treasury's Assistant Secretary for International Markets and Development. I recommend that you approve a limited waiver of paragraph 6 of the Ethics Pledge so that he may participate in matters involving the World Bank Group's International Finance Corporation (IFC), a client of his former law firm for which he provided 5.5 hours of services, completed in January 2016.

*DFM* Approve \_\_\_\_\_ Disapprove \_\_\_\_\_ Let's Discuss

**BACKGROUND**

Executive Order 13770, "Ethics Commitments by Executive Branch Appointees," (EO) requires all Presidential appointees to sign an Ethics Pledge that, among other things, prohibits them from working on particular matters involving specific parties directly and substantially related to a former employer or client for a period of two years. Section 3 of the EO permits the President or his designee to grant a waiver of any restrictions contained in this pledge.

Beginning in January 2014, Mr. Tarbert was a partner at Allen & Overy, LLP, an international law firm. In late 2015 and January 2016, he provided several hours (5 hours and 24 minutes) of legal services to the IFC, which arose out of Allen & Overy's representation of the IFC on a matter in which Mr. Heath was not otherwise engaged. Notwithstanding this limited engagement with the IFC, pursuant to paragraph 6 of the Ethics Pledge, for two years from the date of his appointment he would not be able to participate in matters involving the IFC. His ability to participate in matters involving the IFC, and some matters involving both the World Bank Group and IFC, is integral to his position as Assistant Secretary for International Markets and Development.



## ANALYSIS

Treasury's Office of International Affairs protects and supports U.S. economic prosperity by strengthening the external environment for U.S. growth, preventing and mitigating global financial instability, and managing key global challenges. The Assistant Secretary helps manage the international portfolio by leading Treasury's role on the Committee on Foreign Investment in the U.S., and also supports Treasury's work on international financial services regulation, trade, banking and securities, development, technical assistance, and climate finance.

The Assistant Secretary oversees several offices, including the Offices of International Development Policy and International Debt and Development. These offices lead the U.S. effort to promote economic growth and poverty reduction in developing countries through engagement with the various multilateral development banks (MDBs), including the World Bank Group, of which the IFC is a member institution. These offices also work with the U.S. Congress and other government agencies to secure U.S. funding to the MDBs, advise on potential reforms and innovative financing, and formulate the U.S. position on issues coming before the Paris Club (an informal group of creditors dedicated to supporting solutions to payment difficulties for debtor countries).

The World Bank Group, established in 1944, is comprised of five institutions (the International Bank for Reconstruction and Development, the International Development Association, the IFC, the Multilateral Investment Guarantee Agency, and the International Centre for Settlement of Investment Disputes) that are vital sources of financial and technical assistance to developing countries around the world. The World Bank is an international organization of which the United States is its largest shareholder and a leading member. Through its participation, the United States has supported the World Bank's mission of providing low-interest loans, interest-free credits, and grants to developing countries for education, health, infrastructure, and other purposes. The IFC is the largest global development institution focused exclusively on assisting the private sector in developing countries. Although part of the World Bank Group, the IFC is a separate legal entity with separate Articles of Agreement, share capital, financial structure, management, and staff. Membership in the IFC is open only to member countries of the World Bank (the United States is a member of the IFC). The President of the World Bank Group is also President of the IFC.

Mr. Tarbert has nearly 15 years of experience practicing international banking and financial law. Early in his career, he worked with a number of MDBs on their debt financing programs. More recently, he has been advising on financial regulatory issues, including those related to the Dodd-Frank Act. In mid to late 2015, and culminating in January 2016, Mr. Tarbert answered a discrete and ancillary question that arose from Allen & Overy's representation of the IFC on a matter with which Mr. Tarbert was not otherwise involved. He was asked to determine [REDACTED]

(b) (5), (b) (4) [REDACTED] According to firm billing records, he spent a total of 5 hours and 24 minutes on this question. This included one telephone call with lawyers from the IFC and no other contact or face-to-face meetings with officials or employees of the IFC. Mr. Tarbert has no financial interests in or other ties to the IFC or the World Bank Group. If paragraph 6 of the Ethics Pledge were applied literally to Mr. Tarbert, he would not be able to participate in any matters involving the IFC, including matters involving other members of the World Bank Group and IFC.

It is essential that the United States have an effective, credible voice in discussions with the World Bank Group and the IFC on the many important issues that arise in these fora. Mr. Tarbert's significant experience in the international arena will allow him to significantly advance U.S. interests within these organizations. It would be exceedingly difficult and impractical to segregate the Assistant Secretary's duties to shield him from engagement in matters that involve the World Bank Group and the IFC and such effort would significantly impair his effectiveness as Assistant Secretary.

A waiver is therefore appropriate because: (1) it is in the Department's and public's interest; (2) it will be impossible for Mr. Tarbert to properly perform all the duties of his position if he had to recuse from all matters involving the IFC; (3) Mr. Tarbert's participation in matters involving the IFC and World Bank Group will have no impact on his financial interests; and (4) a reasonable person knowing the facts would not question Mr. Tarbert's impartiality in working on IFC and World Bank Group matters based on a single, five-hour legal research project.

## **CONCLUSION**

Based on the above analysis, a limited waiver of paragraph 6 of the Ethics Pledge so that Mr. Tarbert may participate in matters involving the International Finance Corporation, is appropriate.

**From:** [Horton, Elizabeth](#)  
**To:** (b) (6)  
**Subject:** FW: (b) (3) (A) transaction  
**Date:** Friday, August 18, 2017 12:27:59 PM

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(b) (6) please add to the database:

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**From:** McIntosh, Brent  
**Sent:** Friday, August 18, 2017 10:30 AM  
**To:** Horton, Elizabeth <Elizabeth.Horton@treasury.gov>  
**Subject:** (b) (3) (A) transaction

Beth: As discussed, it appears from news reports that my former firm and the firm with which my wife is sometimes associated represent parties, so I am recusing from consideration of the matter. Thanks.



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

November 27, 2017

**MEMORANDUM FOR:** BRENT MCINTOSH  
GENERAL COUNSEL

**FROM:** Elizabeth A. Horton *E.H.*  
Deputy Assistant General Counsel for Ethics

**SUBJECT:** Participation in Housing Finance Reform Matters

This memorandum memorializes the advice I previously provided to you that an authorization was not required for you to participate in a matter regarding housing finance reform policy, including concerning potential (b) (5) [REDACTED]

You are the General Counsel, a position you started in early August. Prior to this position, you were employed at Sullivan and Cromwell, where you were a partner who provided legal services to a wide array of domestic and international clients in the financial services, energy, and automotive sectors. During your time at Sullivan and Cromwell, you provided legal services to certain funds that held, and may still hold, certain securities issued by the GSEs. (b) [REDACTED]

As such, as long as those funds are interested parties in the GSE conservatorship litigation, you will not participate in that litigation. The housing finance reform matters in which you would participate do not include any of your former fund clients as a party or representative of a party. (b) (4), (b) (5) [REDACTED]

Due to your former employment, you have a "covered relationship" with certain former clients, until one year following termination of employment by any such client. 5 C.F.R.

§ 2635.502(b)(1)(iv). As such, you are prohibited from participating in a "particular matter involving specific parties" when "a person with whom you have a covered relationship is or represents a party" to the matter, and the circumstances would cause a reasonable person with knowledge of the relevant facts to question your impartiality in the matter. 5 C.F.R.

§ 2635.502(a)(1).

A particular matter involving specific parties "typically involves a specific proceeding affecting the legal rights of the parties, or an isolatable transaction or related set of transactions between identified parties." 5 C.F.R. § 2640.102(1). Examples of particular matters involving specific parties include such matters as contracts, grants, licenses, product approval applications, litigation, and investigations. Further, under section 2635.502(a)(2), an employee who is concerned that circumstances other than a covered relationship with a specific party to a matter would cause a reasonable person with the relevant facts to question his participation in a matter should determine whether he should or should not participate in the matter based upon the impartiality standard referenced in section 2635.502(a)(2).

Because you last provided services to these funds more than a year ago, these former clients are not entities with which you currently have covered relationships under 5 C.F.R.



§ 2635.502(b)(1)(iv). Nor do we find that a reasonable person with the relevant facts would question your impartiality in housing finance reform matters because your former fund clients are not parties, representatives of parties, or otherwise directly involved in housing finance reform policy. Therefore, we find that you are not required to recuse from housing finance reform matters under the impartiality standard, nor do you require an authorization under 2635.502(d)(1) to participate in the matter.

Paragraph 6 of the President's Ethics Pledge prohibits political appointees from participating personally and substantially, during the first two years after entering federal service, in any particular matter involving former employers or clients the employees served in the two years prior to entering federal service. "Involving" in this context includes traditional particular matters involving specific parties as well as meetings or other communications with such entities, unless the meeting relates to a particular matter of general applicability and is open to all interested parties. Therefore, as long as you do not participate in meetings or other communications in these housing finance reform matters with the funds that were your clients in the two years prior to your entering federal service, no waiver of this paragraph of the President's Ethics Pledge is required for you to participate in housing finance reform matters, as the funds at issue are neither parties nor representatives of parties.



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C.

**MEMORANDUM FOR:** ELIZABETH A. HORTON  
ALTERNATE DESIGNATED AGENCY  
ETHICS OFFICIAL

**FROM:** David Kautter *D/K*  
Assistant Secretary, Tax Policy

**SUBJECT:** Ensuring Compliance with Ethics Commitments

**DATE:** October 16, 2017

This memorandum describes the screening procedures that I have established to ensure compliance with ethics restrictions applicable to my service as Assistant Secretary for Tax Policy.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment. I also understand that it is my responsibility to continually monitor my financial interests and those imputed to me to make certain that I am not involved in any matter that affects my financial interests or that could cause a reasonable person to question my impartiality.

My financial interests under 18 U.S.C. § 208 include:

- RSM US LLP (former employer; ability or willingness)
- Ernst & Young US LLP (former employer; ability or willingness)
- Prudential, Inc. (stock; last reported value below \$15,000)

In addition, for a period of one year, or two years in the case of my former employer or clients, I will not participate personally and substantially in any particular matter involving specific parties in which any of these entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d), and, if applicable, I obtain a waiver of paragraph 6 of the Ethics Pledge.

Applicable entities include:


- RSM US LLP (former employer)
- American University (former employer)
- Tax Analysts (former trustee)

In order to help ensure that I comply with my ethics obligations, I have taken or will take the following steps:

1. I have instructed (b) (6) to screen all Departmental matters directed to my attention that involve or affect outside entities or sectors and that require my participation to determine if they involve or directly and predictably affect any of the identified entities listed above.
2. I will provide (b) (6) with a copy of this memorandum so that she may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I should be recused, I am directing him to seek the assistance of a Department ethics official if she is ever uncertain whether or not I may participate in a matter.
3. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you and (b) (6).



**MEMORANDUM FOR: ELIZABETH A. HORTON  
ALTERNATE DESIGNATED AGENCY  
ETHICS OFFICIAL**

**FROM:** Andrew K. Maloney   
Assistant Secretary, Legislative Affairs

**SUBJECT:** Ensuring Compliance with Ethics Commitments (Updated to reflect divested assets)

This memorandum describes the screening procedures that I have established to ensure compliance with ethics restrictions applicable to my service as Assistant Secretary for Legislative Affairs.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment. I also understand that it is my responsibility to continually monitor my financial interests and those imputed to me to make certain that I am not involved in any matter that affects my financial interests or that could cause a reasonable person to question my impartiality.

My financial interests under 18 U.S.C. § 208 that I will divest include:

- AKM Revocable Living Trust
- SKM Revocable Living Trust
- Alphakeys European Real Estate Opportunities Fund (over deemimis)
- Madison Dearborn Fund (over deemimis)
- Petro Riv Oil Corp. (over deemimis)
- Amazon Com (over deemimis)
- Apple (over deemimis)
- Halliburton Company (over deemimis)
- Newfield Exploration Co. (over deemimis)
- Facebook, Inc. (over deemimis)
- Kosmos Energy LTD (over deemimis)
- AK STL Hldg Corp (over deemimis)
- United Bankshares, Inc. (over deemimis)
- Alibaba Group Holdings (over deemimis)



- Anheuser Busch Inbev (over deminimis)
- Baker Hughes Inc. (over deminimis)
- Cigna Corporation (over deminimis)
- Cypress Semiconductor Corporation (over deminimis)
- Intrexon Corp. (over deminimis)
- Kellogg Co. (over deminimis)
- Keycorp New (over deminimis)
- Lowes (over deminimis)
- Oracle Corp. (over deminimis)
- Salesforce Com (over deminimis)
- Pop and Suki (over deminimis)
- Carlyle Energy Fund

In addition, for a period of one year, or two years in the case of my former employer or clients, I will not participate personally and substantially in any particular matter involving specific parties in which any of these entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d), and, if applicable, I obtain a waiver of paragraph 6 of the Ethics Pledge.


Applicable entities include:

- Hess Corporation (Former employer)
- Johns Hopkins University (Spouse's employer- ongoing)
- Meridian International Center (Former trustee)
- Randolph Macon College (Former trustee)
- Business Government Relations Council
- U.S. Chamber of Commerce

In order to help ensure that I do not participate in matters directly and predictably affecting any of the entities identified above, I have taken or will take the following steps:

1. I have instructed (b) (6) to screen all Departmental matters directed to my attention that involve or affect outside entities or sectors and that require my participation to determine if they directly and predictably affect any of the identified entities listed above.
2. I will provide (b) (6) with a copy of this memorandum so that she may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I should be recused, I am directing her to seek the assistance of a Department ethics official if she is ever uncertain whether or not I may participate in a matter.
3. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you and (b) (6).

**MEMORANDUM FOR: ELIZABETH A. HORTON  
ALTERNATE DESIGNATED AGENCY  
ETHICS OFFICIAL**

**FROM:** David R. Malpass  
Under Secretary, International Affairs 

**SUBJECT:** Ensuring Compliance with Ethics Commitments

**DATE:** August 16, 2017

This memorandum describes the screening procedures that I have established to ensure compliance with ethics restrictions applicable to my service as Under Secretary for International Affairs.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment. I also understand that it is my responsibility to continually monitor my financial interests and those imputed to me to make certain that I am not involved in any matter that affects my financial interests or that could cause a reasonable person to question my impartiality.

My financial interests under 18 U.S.C. § 208 include:

- Encima Global LLC (former employer)
- Vencorx Therapeutics LLC. (biotech investment)

In addition, for a period of one year, or two years in the case of my former employer or clients, I will not participate personally and substantially in any particular matter involving specific parties in which any of these entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d), and, if applicable, I obtain a waiver of paragraph 6 of the Ethics Pledge.

Applicable entities include:

- Encima Global LLC (former employer)
- Strategas Research Partners (successor of former employer)
- New Mountain Financial Corp. (former employer and former client)
- Forbes magazine (former publisher of columns)
- Manhattan Institute (former board)
- GKCC Gary Klinsky Children's Center (former board)
- UBS Managed Municipal Trust (former employer)
- UBS Investment Trust (former employer)
- UBS Money Series (former employer)
- Pace Select Advisors Trust (former employer)
- UBS RMA Money Market Inc. (former employer)
- UBS Master Trust (former employer)
- UBS RMA Tax-Free Fund Inc. (former employer)
- Strategic Global Income Fund, Inc. (former employer)
- Global High Income Fund Inc. (former employer)
- Managed High Yield Plus Fund Inc. (former employer)
- UBS Asset Management (Americas Inc.) (former employer)
- Blackrock (former client)
- Blackstone (former client)
- Alliance Bernstein (former client)
- Federated Investors (former client)
- Fidelity (former client)
- Franklin Templeton (former client)
- Fortress Investment Group (former client)
- GIA Partners (former client)
- Capital Counsel (former client)
- Cohen & Steers Inc. (former client)
- Convector Capital Management (former client)
- Capital Research (former client)
- Dart Management (former client)
- Elliott Management (former client)
- DB Asset Management (former client)
- Dodge and Cox (former client)
- DSM Capital Partners (former client)
- Wells Capital (former client)
- Faye Sarofim (former client)
- Gilder Gagnon Howe & Co. (former client)
- Golden Tree Asset Management (former client)
- Heartland Financial (former client)
- Hutchin Hill Capital (former client)
- Impala Asset Management (former client)
- Indus Capital (former client)



- Institutional Capital Management (former client)
- Invesco/Aim (former client)
- John Dyson (Investor) (former client)
- JP Morgan Asset Management (former client)
- Legg Mason Inc. (former client)
- Marsico Capital Management (former client)
- Monticello Assoc (former client)
- Munder Capital Management (former client)
- Morgan Stanley Investment Management (former client)
- Needham & Co. (former client)
- Neuberger Berman (former client)
- Northern Trust (former client)
- Oppenheimer Funds (former client)
- Passport Capital (former client)
- PNC Financial (former client)
- Royce Funds (former client)
- Stone Harbor Investment Partners (former client)
- T. Rowe Price (former client)
- TCW Group (Trust Company of the West) (former client)
- Third Ave Management (former client)
- TIAA-Cref (former client)
- Tokai Tokyo Financial (former client)
- Bramshill investments (former client)
- Waddell & Reed (former client)
- Wasatch Advisors (former client)
- William Blair & Co. (former client)
- Cambiar Investors (former client)
- BP America Pension Fund (former client)
- Adage Capital (former client)
- Blue Crest Capital Management (former client)
- Janus Capital Group (former client)
- Jennison Associates (former client)
- YMCA Retirement Fund (former client)

In order to help ensure that I do not participate in matters directly and predictably affecting any of the entities identified above, I have taken or will take the following steps:

1. I have instructed (b) (6) and (b) (6) to screen all Departmental matters directed to my attention that involve or affect outside entities or sectors and that require my participation to determine if they directly and predictably affect any of the identified entities listed above.
2. I will provide (b) (6) and (b) (6) with a copy of this memorandum so that they may fully understand the purpose and scope of my recusal



obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I should be recused, I am directing them to seek the assistance of a Department ethics official if they are ever uncertain whether or not I may participate in a matter.

3. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, (b) (6) and (b) (6).



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C.

GENERAL COUNSEL

**MEMORANDUM FOR: ELIZABETH A. HORTON**  
**ALTERNATE DESIGNATED AGENCY**  
**ETHICS OFFICIAL**

**FROM:** Brent J. McIntosh  
General Counsel *BJM*

**SUBJECT:** Ensuring Compliance with Ethics Commitments

**DATE:** August 30, 2017

This memorandum describes the screening procedures that I have established to ensure compliance with ethics restrictions applicable to my service as General Counsel for the Department of the Treasury.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment. I also understand that it is my responsibility to continually monitor my financial interests and those imputed to me to make certain that I am not involved in any matter that affects my financial interests or that could cause a reasonable person to question my impartiality.

My financial interests under 18 U.S.C. § 208 that I will divest include:

- Bancolombia S.A. Sp ADR PFD (stock)
- Bank Rakyat Indonesia (stock)
- BlackRock (stock)
- Citigroup (stock)
- Deltec Emerging Market Income Fund LP (pooled investment fund)
  - See attached list of holdings
- Deltec Forum Fund LP (pooled investment fund)
  - See attached list of holdings
- ICON Healthcare Fund (sector fund; last reported value below \$50,000)
- Intercontinental Exchange Inc. (stock)
- iShares MSCI India (sector fund; last reported value below \$50,000)

- iShares MSCI Japan (sector fund; last reported value below \$50,000)
- Itau Unibanco Holding S.A. preferred ADR (stock)
- JP Morgan Chase & Co. (stock)
- T. Rowe Price Group (stock)
- Toll Brothers (stock)

Additional financial interests under 18 U.S.C. § 208 include:

- Sullivan & Cromwell (former employer; ability or willingness)
- Andarko Petroleum (stock)
- American Tower Corp. (stock)
- Apple (stock)
- Arbutus Biopharma Corp. (stock)
- AT&T (stock)
- Celgene Corp. (stock)
- Cognizant Technology Solutions (stock)
- CSX (stock)
- Dell Technologies (stock; last reported value below \$15,000)
- DepoMed (stock)
- Endo International (stock)
- Facebook (stock)
- Fed Ex (stock; last reported value below \$15,000)
- Geopark Ltd (stock)
- Gilead Sciences (stock)
- IBM (stock)
- NextEra Energy (stock)
- Novartis AG (stock)
- Samsung Electronics Ltd (stock)
- Schlumberger Ltd (stock)
- Starbucks Corp. (stock)
- Stericycle (stock; last reported value below \$15,000)
- Tisco Financial Group Public Co. Ltd (stock)
- Under Armour (stock)
- Ventas (stock)

In addition, for a period of one year, or two years in the case of my former employer or clients, I will not participate personally and substantially in any particular matter involving specific parties in which any of these entities or individuals is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d), and, if applicable, I obtain a waiver of paragraph 6 of the Ethics Pledge.

Applicable entities/individuals include:

- Sullivan & Cromwell (former employer)
- Wachtell, Lipton, Rosen & Katz (spouse is consultant)
- American International Group (former client)
- Australia Pacific LNG Proprietary Ltd (former client)
- Bank Hapoalim (former client)
- Barclays Bank PLC (former client)
- Barclays Capital (former client)
- BHP Billiton Ltd (former client)
- BHP Billiton Plc (former client)
- BNP Paribas (former client)
- BP America (former client)
- BP PLC (former client)
- CarVal Investors LLC (former client)
- Claren Road Credit Master Fund Ltd (former client)
- Claren Road Credit Opportunities Master Fund Ltd (former client)
- The Clearing House Association LLC (former client)
- Columbia Pipeline Group (former client)
- Corporacion Andina de Fomento (former client)
- (b) (4), (b) (5)
- Fairholme Capital Management LLC (former client)
- Financial Accounting Foundation (former client)
- First Tennessee Bank National Association (former client)
- Goldman Sachs Group (former client)
- GSO Capital Partners (former client)
- Higher One Holdings (former client)
- Institute for International Bankers (former client)
- Intercontinental Exchange (former client)
- JP Morgan Chase & Co. (former client)
- Linder, Crystal (former client)
- Linder, James (former client)
- Major League Baseball (former client)
- Marable, Gladys (former client)
- New York Community Bancorp (former client)
- Nomura Holding America Inc. (former client)
- Paulson & Co. (former client)
- Popular (former client)
- Property Casualty Insurers Association of America (former client)
- Prudential Financial (former client)
- Scottrade Financial Services (former client)
- Securities Industry & Financial Markets Association (former client)
- Spanier, Graham (former client)
- State Farm Insurance Co. (former client)



- U.S. Bancorp (former client)
- United States Chamber of Commerce (former client)
- Versa Capital Management LLC (former client)
- Volkswagen AG (former client)
- Vornado Realty Trust (former client)
- Wells Fargo & Co. (former client)

In order to help ensure that I comply with my ethics obligations, I have taken or will take the following steps:

1. I have instructed (b) (6) to screen all Departmental matters directed to my attention that involve or affect outside entities or sectors and that require my participation to determine if they involve or directly and predictably affect any of the identified entities listed above.
2. I will provide (b) (6) with a copy of this memorandum so that he may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I should be recused, I am directing him to seek the assistance of a Department ethics official if he is ever uncertain whether or not I may participate in a matter.
3. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you and (b) (6).



DEPARTMENT OF THE TREASURY  
WASHINGTON, D.C. 20220

ASSISTANT SECRETARY

**MEMORANDUM FOR: ELIZABETH A. HORTON**  
**ALTERNATE DESIGNATED AGENCY**  
**ETHICS OFFICIAL**

**FROM:** Heath Tarbert *H.T.*  
Assistant Secretary, International Markets and Development

**SUBJECT:** Ensuring Compliance with Ethics Commitments

**DATE:** October 17, 2017

This memorandum describes the screening procedures that I have established to ensure compliance with ethics restrictions applicable to my service as Assistant Secretary for International Markets and Development.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment. I also understand that it is my responsibility to continually monitor my financial interests and those imputed to me to make certain that I am not involved in any matter that affects my financial interests or that could cause a reasonable person to question my impartiality.

My financial interests under 18 U.S.C. § 208 include:

- Allen & Overy LLP (former employer; ability or willingness)

In addition, for a period of one year, or two years in the case of my former employer or clients, I will not participate personally and substantially in any particular matter involving specific parties in which any of these entities is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d), and, if applicable, I obtain a waiver of paragraph 6 of the Ethics Pledge.

Applicable entities include:

- Allen & Overy LLP (former employer)

- The Banking Law Journal (former member of Board of Editors)
- RSCR Publications LLC, publisher of *Review of Banking & Financial Services* and *Review of Securities & Commodities Regulation* (former member of Board of Advisors)
- Bloomberg BNA, publisher of *Bloomberg BNA Banking Report* (former member of Board of Advisors)
- Harvard Law School (former Senior Fellow)
- ABN AMRO Holding N.V. (former client)
- ABSA Group Ltd. (former client)
- Accenture (former client)
- Aegon N.V. (former client)
- Allianz AG (former client)
- Annaly Capital Management, Inc. (former client)
- Banca Carige S.p.A. (former client)
- Banco Bilbao Vizcaya Argentaria, S.A. (BBVA) (former client)
- Bank Handlowy w Warszawie, S.A. (former client)
- Bank of America Corporation (former client)
- The Bank of New York Mellon Corporation (former client)
- The Bank of Tokyo-Mitsubishi UFJ Ltd. (former client)
- Bank of the West (former client)
- Bilateral Risk Management Services LLC (former client)
- BNP Paribas (former client)
- Cairn Capital Ltd. (former client)
- Central Bank of Jordan (former client)
- Citigroup, Inc. (former client)
- CFA Institute (former client)
- CLSA Capital Partners Ltd. (former client)
- CME Group Inc. (former client)
- Computer Sciences Corporation (former client)
- Crédit du Nord (former client)
- Credit Suisse Group AG (former client)
- Criteria Caixa, S.A.U. (former client)
- Crossroads GPS (former client)
- Danske Bank A/S (former client)
- Davidson Kempner Capital Management LLC (former client)
- Deutsche Bank AG (former client)
- Dexia S.A. (former client)
- Ebury Partners UK Ltd. (former client)
- Eksportfinans ASA (former client)
- Ernst & Young LLP (former client)
- European Cities Partnership SCS (former client)
- ExxonMobil Iraq Services Ltd. (former client)
- Federal National Mortgage Association (former client)
- First Gulf Bank PJSC (former client)

- FirstRand Bank Ltd. (former client)
- First Republic Bank (former client)
- General Motors Corporation (former client)
- Giancarlo, G. Christopher (former client)
- Glassman, Mitchell L. (former client)
- The Goldman Sachs Group, Inc. (former client)
- Henderson Property Management Company (Luxembourg) *S.a.r.l.* (former client)
- HSBC Holdings, plc (former client)
- Hua Nan Commercial Bank, Ltd. (former client)
- IMC Financial Markets (former client)
- International Finance Corporation (former client)
- International Swaps and Derivatives Association (ISDA) (former client)
- Jordan (former client)
- J.P. Morgan Chase & Co. (former client)
- Republic of Korea (former client)
- LCH. Clearnet Group Ltd. (former client)
- LFS Portfolio AB (former client)
- The Liquidity Marketplace Ltd. (former client)
- Morgan Stanley & Co. (former client)
- Mubadala Infrastructure Partners Ltd. (former client)
- National Bank of Abu Dhabi (former client)
- National Bank of Canada (former client)
- The Netherlands, Ministry of Finance (former client)
- NetOTC S.a.r.l. (former client)
- Nomura Holdings, Inc. (former client)
- Novo Banco S.A. (former client)
- Qatar (former client)
- Qatar National Bank Q.P.S.C. (former client)
- QInvest (former client)
- Senator Investment Group LP (former client)
- Singapore (former client)
- Skandinaviska Enskilda Banken AB (SEB) (former client)
- Société Générale S.A. (former client)
- Sumitomo Mitsui Financial Group, Inc. (former client)
- Systemic Risk Council (former client)
- Taiwan Business Bank Co., Ltd. (former client)
- Taiwan Cooperative Bank Co., Ltd. (former client)
- Temasek Holdings Private Ltd. (former client)
- Tullet Prebon Group Holdings plc (former client)
- UBS AG (former client)
- UniCredit S.p.A. (former client)
- United States Postal Service (former client)
- Volkswagen Financial Services AG (former client)
- Woori Bank (former client)



- Worldpay Group plc (former client)

In order to help ensure that I comply with my ethics obligations, I have taken or will take the following steps:

1. I have instructed (b) (6) to screen all Departmental matters directed to my attention that involve or affect outside entities or sectors and that require my participation to determine if they involve or directly and predictably affect any of the identified entities listed above.
2. I will provide (b) (6) with a copy of this memorandum so that she may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I should be recused, I am directing him to seek the assistance of a Department ethics official if she is ever uncertain whether or not I may participate in a matter.
3. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you and (b) (6).

**From:** (b) (6)  
**To:** (b) (6)  
**Cc:** [Kautter, David](#)  
**Subject:** RE: Meeting Request: Joe Brusuelas, RSM  
**Date:** Wednesday, September 13, 2017 4:07:00 PM  
**Attachments:** [image001.png](#)

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Hello (b) (6) .

David cannot take this meeting, both under the terms of the Ethics Pledge and the regulations. Under the Pledge, he has a two-year period within which he cannot participate in matters involving his former employer. (b) (5)

Further, under the standards of conduct (5 CFR 2635.502), he has a covered relationship with any former employer within the last year. Under the 502 regulation, he generally cannot participate in any party matter with entities/individuals with whom he has a covered relationship if a reasonable person would question his impartiality in the matter. This could be triggered due to the proximity of time between leaving RSM and joining Treasury, as well as the pending payments David is scheduled to receive from his prior employer. At any rate, here, the Pledge will trump 502, given that it is a longer recusal period, two years.

Please let me know if you have further questions on this. Thanks. (b) (6)

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**From:** (b) (6)  
**Sent:** Tuesday, September 12, 2017 11:04 AM  
**To:** (b) (6)  
**Cc:** Kautter, David  
**Subject:** FW: Meeting Request: Joe Brusuelas, RSM

(b) (6) -

Please review the below request on behalf of RSM (Dave's former employer) for a meeting to discuss tax reform. We would like for you to consider the ethics component of this and let us know if Dave can plan on taking this meeting or respectfully decline. Thanks for your help. -p

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**From:** Mitchell, Chris [<mailto:Chris.Mitchell@prime-policy.com>]  
**Sent:** Tuesday, September 12, 2017 10:19 AM  
**To:** (b) (6) <[@treasury.gov](#)>  
**Subject:** Meeting Request: Joe Brusuelas, RSM

(b) (6) ,

I am reaching out to you on behalf of Joe Brusuelas, chief economist at RSM. Mr. Brusuelas will be in Washington, DC next week, and he would love the opportunity to meet with Assistant Secretary Kautter—preferably on September 19 or 20. He will be joined by Sara Webber Laczo also of RSM. They would like to discuss tax reform, but also catch up with him now that he is installed his new role.

Please let me know if I can provide you more information about this request.

Best regards,  
Chris Mitchell

**Chris Mitchell**

Director

1110 Vermont Avenue, NW | Suite 1000 | Washington, DC 20005

202 530 4821 | Fax: 202 530 4800 | <https://hyperlink.services.treasury.gov/agency.do?origin=www.prime-policy.com>



A WPP Group Company: <https://hyperlink.services.treasury.gov/agency.do?origin=www.wpp.com>

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The information, and any attachments contained in this email may contain confidential and/or privileged information and is intended solely for the use of the intended named recipient(s). Any disclosure or dissemination in whatever form, by another other than the intended recipient is strictly prohibited. If you have received this transmission in error, please contact the sender and destroy this message and any attachments. Thank you.

## JAMES J. ALEX

(b) (6)

Applying for: Senior Advisor to the Assistant Secretary for Tax Policy, U.S. Department of the Treasury

Country Citizenship: United States

State: Virginia since 2010 (and previously)

Veterans Preference: NA

Federal Status: NA

Contact Current Employer: NA – Retired, can contact EY to verify former employment and partner/principal status

*(Note: in accounting firms - for professional regulatory reasons - lawyers who are full equity partners, such as I was, are called “principals” – otherwise, fully the same status as CPA partners in accounting firms.)*

### Summary of Skills

- Tax substantive: extensive experience with Federal, State and Local tax matters (client service, knowledge management, sales, marketing, quality control and risk management). Served as State Assistant Attorney General in W.Va. and Deputy Secretary of the West Virginia Department of Tax and Revenue and as a Tax Partner at EY
- Financial Regulation: Strong foundation in Sarbanes-Oxley Act provisions, regulation of public auditors, SEC and PCAOB regulations
- Risk Management/Compliance: Served as Conflicts of Interest Leader for EY Americas; senior leader in EY's Americas Risk Management – reported to EY's Vice Chairman of Risk Management for the Americas
- Management: Extensive management experience in State Government and at EY as Partner - handling broad range of people issues: hiring, promotions, compensation, counseling, and terminations
- Budget: Extensive experience managing a group budget as an EY Partner, and Deputy Secretary of the W.Va. Department of Tax and Revenue
- Oral presentation and advocacy: As an attorney and leader at EY, significant presentation experience and oral advocacy
- Written communication: Wide variety of experience – e.g., memos, determination letters, presentations, white papers, legal documents (briefs, motions, etc.), responses to government requests
- Project Management and Program Management: Significant experience at EY running project teams and program management offices – on large strategic programs that required substantial change management focus

### PROFESSIONAL EXPERIENCE

ERNST & YOUNG LLP, Washington, D.C., and Greater New York City Area

October, 1995 – August, 2016

Partner/Principal, Global Tax, Washington, D.C. (4/2015 – 8/2016), reported to senior partners Srinu Rao and George Peterson and ultimately to Jay Nibbe, Global Vice Chair of Tax for EY located in London. Salary (b) (6) Full time.

**Duties:** Senior partner leading/participating in Global Tax strategic projects

#### **Accomplishments**

Led the implementation of strategic global projects, including the creation of a new multibillion-dollar global practice formed by the merger of two multinational units with thousands of professionals. Oversaw program management efforts to merge the practices, and helped determine the go-to-market strategy and structure for the merged practice. Further, provided significant advisory assistance to EY Tax practices across the globe – in order to improve practice gross margin/profit.



**Partner/Principal, Risk Management, Americas Risk Management**, Greater New York City Area (7/2008 – 9/2015), reported to several Vice Chairs of Americas Risk Management over this period: Tim Griffy, Randy Fletchall, Jean-Yves Jegourel and Ted Acosta. Salary (b) (6) Full time.

**Duties:** Senior partner in EY's Risk Management team and member of the Americas "Risk Management Council"; Leader of Conflicts of Interest Management Process for EY Americas; overall focused on many substantive issues: conflicts, auditor independence, new engagement acceptance, determinations of whether the provision of audit services for clients anticipating an IPO is appropriate, acceptance of new clients.

**Accomplishments**

Led a broad-based team addressing client-based engagement issues related to regulatory and professional standards when accepting new clients and engagements.

- Implemented substantive procedures to ensure the firm remained in compliance with regulations as the business environment evolved.
- Executed significant process improvements related to accepting new clients and client engagements, minimizing risk across the business, streamlining specific activities, and outsourcing certain functions.
- Reported to the Vice Chair of Americas Risk Management and served as a member of the Americas Risk Management Council, providing advice on a variety of policy and operational issues.
- Manage a team of approximately 15 people – all levels.

**Partner/Principal, Risk Management, Americas Tax Quality and Risk Management**, Washington, D.C. (5/2005 – 7/2008) Reported to Joseph Knott, Partner in Charge of Americas Tax Quality and Risk Management. Salary: (b) (6) Full time.

**Duties:** Partner leading strategic projects, resolving substantive tax risk and professional standards issues; focused on such topics as tax penalties, provision of tax services – especially written tax advice, appropriate tax fees, engagement letters, conflicts of interest, auditor independence.

**Accomplishments**

Led risk-management efforts related to new SEC/PCAOB and IRS rules stemming from Sarbanes-Oxley and other regulatory developments. Focused particularly on procedures that ensured that Americas Tax services complied with new regulations, and streamlined review efforts to make risk-management review more efficient. Resolved issues related to auditor independence rules, IRS practice rules and IRS penalty provisions. Had a leadership role in rewriting and implementing the national client-engagement letter, which became the model for the global firm.

**Partner/Principal, National Tax**, Washington, D.C. (12/2001 – 5/2005), reported to many partners over these years depending on program and project activity, James Bosserman, Daniel Hayes, David Holtze, Mark Weinberger, David Kautter, Jay Nibbe, and James Knauss. Salary: (b) (6) Full time.

**Duties:** Junior Partner in compensation benefits practice; partner leading Tax Practice re-engineering for US Tax Leadership; partner in Americas Tax Markets Group.

**Accomplishments**

Led a program office responsible for re-engineering the U.S. Tax Practice in the wake of the dot.com crash and the implementation of Sarbanes-Oxley. Program-managed and helped lead the development and implementation of the U.S. Tax Practice's go-to-market strategy. Reported to Americas Tax leadership team.

**Senior Manager/Manager, National Tax**, Washington, D.C. (10/1995-12/2001), reported to several partners over this period, Tim Higgins, Beth Brooke, David Kautter, Joseph Knott, Harvey Fireman. (b) (6) Full time.

**Duties:** Led strategic projects and programs, client service, sales. Held a variety of roles concerning: state and local tax client service, re-engineering the U.S. Tax Practice, knowledge management regarding tax services/development of

methodologies and services, and tax quality control.

#### **Accomplishments**

Helped lead the implementation of a new consulting process and service development process for the U.S. Tax Practice; new tax services developed and quality reviewed; strong focus on market activity related to the State and Local Tax Practice.

**Staff Member, KPMG, Washington D.C.** (1/1995 to 10/95) Ultimately reported to Partner Karen Syrylo. (b) (6)  
Full time (however, some time off to complete Tax LLM at Georgetown).

**Duties and accomplishments:** staff member serving clients regarding state and local tax issues.

#### **WEST VIRGINIA GOVERNMENT AND LAW, Tax, Charleston, WV**

**1989 – 1994**

#### **Roles:**

- **Staff member and State Assistant Attorney General -- West Virginia Attorney General's Office,** (6/1989-10/1991), (b) (6) Full time. Reported to a variety of people including John Shank
- **Attorney -- Law Firm of Fred D. Clark,** (10/1991-6/1992), Reported to Fred Clark. (b) (6) Full time.
- **Assistant to the W.Va. Secretary of the Department of Tax and Revenue,** (6/1992-6/1993). Reported to James Paige, Secretary of the Department of Tax and Revenue. (b) (6) Full time.
- **Deputy Secretary of the W.Va. Department of Tax and Revenue,** (6/1993-9/1994). Reported to James Paige, Secretary of Tax and Revenue. (b) (6) Full time.

**Duties:** Served in a variety of roles in West Virginia state government and private practice (with government assignments), primarily focused on tax litigation and administration.

#### **Accomplishments**

Led the state-wide litigation effort defending the reappraisal of all industrial and natural resource properties for *ad valorem* property-tax purposes. Argued tax cases on a variety of topics in administrative forums, circuit courts and state supreme court. Extensive public speaking throughout the state on tax policy and litigation matters. Advised state and local leaders on tax matters, including the Governor. Developed and implemented important legal remedy theories to tax cases having negative effects on W.VA fiscal situation (i.e., Davis v. Michigan and Armco v. Hardesty). Appointed by the Governor to be Acting Alcohol Beverage Control Commissioner – to realign the agency including staffing – imposing new rules and expectations.

#### **EDUCATION**

**Master/LLM in Securities Law and Financial Regulation,** Georgetown University Law Center, Washington, D.C. (5/2010)  
Coursework: wide range of financial regulation and securities law topics, special focus on derivatives.

**Master/LLM in Taxation,** Georgetown University Law Center, Washington, D.C. (1/1996), Coursework: wide range of tax courses – almost all focused on Federal Tax.

**Juris Doctor,** University of Virginia School of Law, Charlottesville, VA (5/1989), Coursework – standard J.D. courses – some emphasis on criminal law. Member of the Jefferson Literary and Debating Society – one of the oldest debating societies in the country.

**Bachelor of Arts, cum laude,** Virginia Tech, Blacksburg, VA (3/1986), Coursework – major in History, minor in English. Served one year as a Resident Advisor in charge of a floor in a men's dorm, and the next year as the Head Resident Advisory – in charge of the men's dorm.

**High School:** West Springfield High School, Springfield, Va. (6/1982)

**Accounting Classes:** Northern Virginia Community College, (1/2006 to present) Six classes, 18 credit hours.

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## BAR ADMISSIONS

Virginia and West Virginia

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## PROFESSIONAL DEVELOPMENT 9/2016 TO PRESENT

**Beyond the IPO: Exempt Securities Offerings**, Georgetown University Law Center (Fall 2016)

Adjunct professors: Charles S. Kwon, Senior Special Counsel, Division of Corporation Finance at the SEC; and James C. Lopez, Legal Branch Chief, Division of Corporate Finance at the SEC.

**Initial Public Offerings**, Georgetown University Law Center (Spring 2017)

Adjunct professor: Michael J. Reedich, Special Counsel, Office of Chief Counsel, Division of Corporation Finance at the SEC.

**Global Derivatives Law and Regulatory Policy**, Georgetown University Law Center (Spring 2017)

Adjunct professor: Gregory A. Scopino, Special Counsel, Division of Swap Dealer and Intermediary Oversight at the CFTC.

**Accounting: Advanced Accounting**, Northern Virginia Community College (Spring 2017)

Adjunct professor: Herbert Chubin.

**Accounting: Principles of Federal Taxation II** (various topics, e.g., ASC 740), Northern Virginia Community College (Fall 2017) Adjunct professor: Michelle Worth.

**Financial Statement Accounting for Tax Consequences**, Georgetown University Law Center (Spring 2018)– accelerated class – already underway. Adjunct professor: John Gunn (retired EY partner)

## PERSONAL

(b) (6)

## CHRISTOPHER E CAMPBELL

(b) [REDACTED]  
(6) [REDACTED]  
[REDACTED]  
[REDACTED]

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### Summary of Qualifications, Abilities and Expertise

- Extensive leadership and management experience in corporate, civic, and volunteer environments
  - Recognized by several national publications in the last seven years as one of the 50 most influential staffers on Capitol Hill
  - Strong focus in international policy and regulation for public and private sectors
  - Over 17 years of experience recruiting and managing teams that effectively engage and support senior executive and board-level decision-making
  - Values honesty, fiscal responsibility, trustworthiness, and loyalty
- 

### Professional Experience

#### **United States Senate Finance Committee**, Washington, DC 2011 — Present

**Staff Director** responsible for coordinating and managing the Republican Senate Finance Committee's staff and agenda, which oversees 100% of federal revenue and 60% of federal spending

- Lead Committee's jurisdiction over tax (revenue), international trade, Medicare/Medicaid, Social Security, the national debt, and direct oversight of four Presidential Cabinet Secretaries
- Established collaborative working relationships and friendships with committee members and their staff, including Senators Grassley, Crapo, Roberts, Enzi, Cornyn, Thune, Burr, Isakson, Portman, Toomey, Heller, Scott, Cassidy, Wyden, Schumer, Stabenow, Cantwell, Nelson, Menendez, Carper, Cardin, Brown, Bennet, Casey, Warner, and McCaskill.
- Effectively recruited and trained an experienced staff of over 50 subject matter experts from industry, universities, and governmental bodies across the US to successfully implement the Committee's agenda with local, state, and national groups, including the White House
- Successfully set US Senate Republican agenda by parlaying personal relationships with the President, Senators, Congressmen, and senior staff to initiate and amend legislation, regulation, and trade agreements
- Lead negotiator on behalf of the Republican led Senate on matters that fall within the committee's jurisdiction
- Oversaw strategy and policy development that lead to passage of over 100 new laws including:
  - TPA, Customs Legislation, Trade Enforcement, Permanent SGR Fix (Medicare Reforms), Bush-era tax Cuts Permanency, Tax Extender Permanency, and Social Security Reforms

#### **United States Senator Orrin G. Hatch**, Washington, DC 2006 — 2010

**Legislative Director** responsible for coordinating and managing the Senator's entire legislative agenda

- Worked on key pieces legislation, including: Dodd-Frank Wall Street Reform and Consumer Protection Act, revisions to the Sarbanes-Oxley Act, Troubled Asset Relief Program (TARP), Affordable Care Act (Obamacare), and Edward M. Kennedy Serve America Act
- Helped draft and pass major tax bills, including: revisions to the Foreign International Sales Corporations – Extraterritorial Income Exclusion Act (FISC-ETI) and an extension to the Research & Development (R&D) Tax Credit
- Led congressional leadership teams to draft and enact key free trade agreements with Australia, Chile, Columbia, Morocco, Peru, and Singapore
- Managed an experienced staff of over 20 subject matter experts
- Drafted testimony, speeches, and statements for Senator Orrin G. Hatch

#### **Campbell Enterprises**, Phoenix, AZ & Arlington, VA 2004 — 2006

**President & Founder** responsible for business development, providing strategic consulting services, and managing projects for a variety of clients, including (full list available upon request):



- **Michael Baker Corporation** – (NYSE Amex: BKR) a professional engineering and consulting firm for public and private sector clients worldwide
  - Areas of responsibility included assisting with the design of a national strategy for local implementation of National Map Modernization
  - Designed and implemented a strategic business plan cutting costs with demonstrable results
  - Designed strategic communications and outreach strategy to implement programmatic goals while managing a team of ten employees
- **Physician's Injury Network, Inc.** – Business Strategy Consultant
  - Created a state-wide network of physicians and ancillary service providers
  - Advised on business/policy regulation, assisted in design and implementation of business processes and coordinated marketing and communications

**United States Senate Committee on the Judiciary**, Washington, DC      2000 — 2004

**Staff Director, International Trade Subcommittee, Senate Committee on Finance** responsible for providing legislative advice and counsel to U.S. Senator Orrin G. Hatch and managing a staff of five

- Areas of responsibility include international trade, business and economic development related to Trade Promotion Authority, free trade agreements, and international commerce
- Drafted legislation, testimony, speeches and statements for Senator Orrin G. Hatch

**Orrin Hatch for U.S. Senate**, Salt Lake City, UT      2000 — 2000

**Campaign Director** managing a staff of 12 and accountable for the design and implementation of successful political and public relations strategies

- Responsible for strategy, speeches, media (buys and production), mailings, and messaging
- Principle surrogate for Senator Hatch in debates and public appearances
- Responsible for statewide and national fundraising
- Wrote, edited and produced issue-specific materials for distribution to government officials, news media, community groups, and individuals
- Built and maintained coalition of over 100,000 individuals and groups

**Orrin Hatch for President**, Nationwide      1999 — 2000

**National Field Director** responsible for promoting Senator Hatch's political message across the country

- Hired and managed seven staffs throughout the country
- Traveled extensively throughout the country speaking at various events and setting up operations that would promote our campaign message in different regions of the country
- Advanced all events, including presidential debates, and served as principle speaking surrogate
- Drafted speeches, public relations strategy, and budgets
- Responsible for national fundraising activity

**Campbell Consulting**, Long Beach, CA      1998 — 2000

**President** responsible for generating new business through targeted communication and direct marketing strategies. Provided national and international business/political consulting. Clients included (full list available upon request):

- **Mattel, Inc.** – National Campaign Director & Marketing Consultant
  - Managed national political/media campaign for the Plush Toy Brand "Bubba." (*Bubba for President*)
  - Coordinated national media (including TV, radio, and web based advertising), sales staff and marketing department for product development and marketing strategy
  - Aided in the development of three other Mattel, Inc. licensed products including the *Cabbage Patch Kids* line and deliverables related to the opening of the movie "Star Wars – Episode I"
- **Pangea Equities** – International Business Management Consultant
  - Conducted financial research surrounding buyout funds and subsequent acquisitions of branded consumer products and business-to-business service firms
  - Consulted on a variety of capital investment issues, including due diligence, funding through venture capital, portfolio management, marketing, and project management



## Education

**Thunderbird, School of Global Management**, Glendale, AZ  
**Masters in Business Administration**, International Business Focus

**University of California, Santa Barbara**, Santa Barbara, CA  
**Bachelor of Arts Degree**, Political Science

Donald Castellucci III

(b) (6)

Federal Employment Status: N/A

Veterans Preference Status: N/A

Clearance: N/A

Citizenship: United States

Availability: Full Time

Desired Locations: Washington, DC

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## WORK EXPERIENCE

Operations Director

November 2015-Present

*Congressman Tom Reed*

Salary: (b) (6)

2437 Rayburn HOB, Washington D.C

Hours Worked Per Week: 50-60

Supervisor: Tim Kolpien, (b) (6)

- Direct long-term strategic planning as well as manage the Member's day-to-day schedule
- Lead the Operations Team with two support staff members and oversee D.C. intern program
- Prioritize prospective events according to office's stated goals and objectives to ensure the Member's time is being used effectively and efficiently
- Work with district, legislative, and communications teams to ensure the Member is properly briefed prior to each event in D.C. and in the district
- Prepare, organize, and staff office-sponsored on-campus events and advance off-campus events
- Execute multiple administrative functions including onboarding new staff, updating office protocol handbooks, providing technical support to staff, and assisting Finance staffer with invoices and renewal paperwork

Legislative Correspondent & Communications Assistant

April 2015-October 2015

*Congressman Tom Reed*

Salary: (b) (6)

2437 Rayburn HOB, Washington D.C

Hours Worked Per Week: 50-60

Supervisor: Brandy Brown, No longer with office

- Oversaw the Member's constituent management system
- Transitioned office from legacy constituent management vendor to new vendor over two month period
- Drafted and sent direct constituent correspondence in response to incoming emails, calls, and letters
- Researched proposed legislation to provide constituents with correct and up to date information
- Created and distributed the Member's weekly newsletter as well as targeted newsletters
- Tracked analyzed data from incoming mail and social media for communication planning purposes

Caseworker & Field Representative  
Congressman Tom Reed  
89 West Market Street, Corning, NY 14830  
Supervisor: Alison Hunt, (b) (6)

June 2014-April 2015  
Salary: (b) (6)  
Hours Worked Per Week: 50

- Served as a liaison between the Member and multiple government agencies (IRS, OPM, HUD, etc.)
- Communicated with constituents and worked to ensure their concerns were addressed in a timely manner
- Maintained detailed notes and history from all correspondence with agencies and constituents for future use
- Trained and oversaw interns in Corning District Office to ensure they understood day-to-day responsibilities
- Represented the Member at events throughout the district

## EDUCATION

The University of Scranton, Scranton, PA

June 2014

B.S., Political Science

*Concentration:* Public Administration and Public Affairs

GPA: (b) (6)

Seton Catholic Central High School, Binghamton, NY

June 2010

Advanced Regents Diploma

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## ADDITIONAL INFORMATION

Alumni Advisory Board Board Member, Scranton, P.A.  
The University of Scranton

May 2015-Present

Participate on the Board Operations and the Alumni & Student Engagement working groups  
Serve as a liaison between the University and Alumni Society and work to increase grassroots participation

Interview potential candidates for Board membership and advise Executive Committee on appointments

Develop annual goals for the Board that are aligned with University priorities

Advise University staff and give feedback regarding student and alumni programs on campus and in the regions

Served as point of contact and presented to the Board regarding the FY17 self-assessment survey

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## REFERENCES

Kate Better\*

Epiphany Productions

Political Director

(b) (6)



Lynn King Andres\*

The University of Scranton

Associate Director, Alumni Relations

(b) (6)

[REDACTED]

Seth Wimer\*

Republican Attorney General Association

Political Director

(b) (6)

[REDACTED]

**Richard G. Danker**

(b) (6)

Country of citizenship: United States of America

Veterans' Preference: No

Highest Grade: CT 15, 02/2017-Present

Contact Current Employer: Yes

**AVAILABILITY**

Job Type: Permanent

Work Schedule: Full Time

**JOB APPLICATION**

Senior Advisor to the Deputy Assistant Secretary - FSOC

**WORK EXPERIENCE**

US Commodity Futures Trading Commission

Dates: 02/17 –Present

Washington, DC

Level: CT-0301-15

Senior Advisor to the Chairman

Salary: (b) (6)

Supervisor: J Christopher Giancarlo (b) (6)

- Senior Advisor to the Chairman on market and regulatory issues impacting market participants, investors, end-users and consumers. Responsible for financial and market research and advice of great importance, significance, and difficulty.
- Provide advice and counsel on important CFTC programs. Spearhead interagency projects and conduct presentations for officials outside the agency on key programs within the area of domestic and international market and regulatory issues.
- Chairman's deputy to the Financial Stability Oversight Council. Advise Chairman on threats to financial stability, systemic risk, macroprudential regulation and nonbank and financial market utility designations, supervision, and reevaluations.
- Provide strategic guidance and advice to assist the Chairman in communicating novel regulatory, especially and including points of interface with the missions of other Federal agencies, working groups, and international regulatory bodies.
- Review and analyze extremely complicated regulations for market and regulatory impact and to determine their foreseeable effect and prepares recommendations; draft proposed directives, legislation, and regulations; write memoranda, correspondence, articles, and speeches.
- Attend and speak at conferences, trade associations, industry events, and meetings with other financial regulators, end-users, academics, public interest organizations, media and investors.

- Review, evaluate and summarize reports for the Chairman. Develop independent, objective comments, critiques and recommendations pertaining to same as requested.
- Lead and work closely with senior staff on broader regulatory and policy strategies to inform and build strategic solutions for regulatory issues, including rules.
- Develop plans or materials to communicate activities undertaken by the CFTC. Respond to requests for information from the media or designate an appropriate spokesperson or information source. Write press releases or other media communications to promote the CFTC.
- Establish and maintain cooperative relationships with representatives of the community, consumer, employee, or public interest groups.

Kiowa Strategies

Dates: 01/15 – 01/17

Principal

Arlington, VA

- Public affairs sole proprietorship specializing in public policy, research, government relations, speechwriting
- Clients included New York General Contractors Association, Motif Investing, campaigns
- Organized coalition dedicated to infrastructure spending and regulatory reform, educated key legislative offices, advocated for long-term highway bill that became first passed into law in a decade

Lone Star Committee

Dates: 11/15 – 08/16

Founder & Executive Director

Arlington, VA

- Founded and ran independent issue advocacy organization for 2016 Republican presidential race
- Crafted and aired television and radio commercials on behalf of Sen. Ted Cruz's economic policies, garnered media appearances in support of Donald J. Trump general election campaign
- Operated fundraising program, developed policy agenda, ran earned media campaign in print, radio
- Featured by CNN, *National Review*, *Weekly Standard*, Rush Limbaugh Show, and other outlets

Jeff Bell for US Senate

Dates: 02/14 – 12/14

Campaign Manager

Teaneck, NJ

- Ran primary and general election campaigns of New Jersey Republican U.S. Senate nominee
- Responsible for strategy, messaging, research, fundraising, budgeting, speechwriting, staffing

- Orchestrated policy-oriented campaign with specific reform proposals on Federal Reserve, healthcare, taxes, entitlements, gambling, education, immigration, infrastructure, and national security

American Principles Project  
Economics Director  
Washington, DC

Dates: 05/10 – 02/14

- Managed all economic policy and research initiatives, including on central banking, public pensions and government financial transparency for Washington advocacy group in Congress and in states
- Managed issue campaigns including promoting market valuation and reporting of public pension liabilities, promoting defined contribution public pension plans, eliminating taxation of US specie currency
- Through issue education and advertising, organization passed laws in four states to eliminate taxation of US specie currency and in one state to close down elected official pension system

## SKILLS SUMMARY

- Expert knowledge of how financial markets work globally and the rules and regulations of the CFTC and other financial regulators. Thorough knowledge of hedging, market risk analysis, position limits, swap data reporting, CCPs, SEFs, market limits, specific rulemakings, market structure issues, automated trading and cybersecurity.
- Expert knowledge of Dodd-Frank Act and related macroprudential regulation
- Systemic risk monitoring, collection and analysis of financial data
- Thorough knowledge of commodity law, The Commodity Exchange Act (CEA) and the Commission's policies and regulations regarding the oversight of regulated derivatives markets sufficient to review regulations for market and regulatory impact and draft proposed directives, regulations, and legislation. Knowledge of trading strategies and mechanisms employed in regulated derivatives markets.
- Excellent interpersonal skills sufficient to advise, consult, and negotiate with contacts who have divergent and conflicting views on issues involved. Skill in presenting controversial findings to a wide range of audiences.
- Excellent writing skills sufficient to develop media communications to promote the CFTC.

## EDUCATION

- Graziadio Business School, Pepperdine University | Malibu, CA
- **Masters of Business Administration** May 2010



- Coursework included capital markets, mergers and acquisitions, financial accounting, business valuation, debt securities, corporate finance, business strategy
- School of Public Policy, Pepperdine University | Malibu, CA
- **Masters of Public Policy** May 2010
- Coursework included political economy, business-government relations, economics, statistics
- Lynchburg College| Lynchburg, VA
- **Bachelor of Arts, Political Science & English** May 2005

#### **COMMITTEE/ORGANIZATIONS**

- Pepperdine School of Public Policy Alumni Advisory Council 2016 - present

## DAVID F. EISNER

(b) (6)

### PROFESSIONAL EXPERIENCE

#### **Compliance Science Inc.**

**2015-Present**

##### **Executive Chairman / Acting CEO / Board**

- Requested by independent board members to step in as acting-CEO from March-July 2016.  
Accomplishments:
  - Recruited and hired permanent CEO
  - Recruited and hired new CFO
  - Closed venture equity financing
  - Stabilized (b) (4) organization
  - Led sales effort to initiate and close company's largest sale in its 10-year history
- Continue to play active role in company, working closely with CEO, and leading company's major sales, business development and financing activities

#### **Senior Advisor, East Wind Advisors**

**2013-Present**

- Boutique investment bank specializing in M&A and financing of middle market companies in the consumer / retail, education and advertising technology sectors

#### **Angel Investor, Board Member & Advisor**

**2011-Present**

- Mentor, advisor and board member to numerous high-growth companies (list available upon request), including Participant / Mentor: Techstars; NYC Investment Fund Fintech Innovation Lab; First Growth Venture Network

#### **TheMarkets.com LLC**

##### **Founder & CEO**

**2000-2011**

- Founded financial data and enterprise software company with 11 of the world's largest banks
  - Company negotiated massive changes in market structure
- Raised (b) (4) of capital for company
- Collected data from 1,500+ brokers and other contributors; enterprise clients at 2,400 institutional investment managers worldwide
- Grew revenues from (b) (4) and to (b) (4)
  - 90% client retention rates; very low employee turnover
- Recruited seasoned and diverse management team whose average tenure (at the time of the company sale) was 8 years
- Chaired / led all board meetings
- Named three times in five years in *Institutional Investor's* Online Finance 40, as one of the world's the top innovators in financial technology
- Sold TheMarkets.com to The McGraw-Hill Companies for \$(b) (4)

#### **iExchange.com, Founder and CEO**

**1999-2000**

- Innovative online marketplace for investment ideas
- Raised (b) (4) with marquis investors including idealab!, Kleiner Perkins and Capital Z Partners
- Chaired / led all board meetings
- Sold to Placemark Investments

**Jefferies Group, Inc.**

**1988-1999**

**Executive Vice President, Office of the Chairman**

**1992-1999**

- Member of 3-person senior management team, that oversaw (b) (4) in market capitalization; (b) (4)
- Line responsibility for Fixed Income, Corporate Finance, Research and International businesses
  - Grew revenues from (b) (4)
  - Oversaw tripling of headcount
  - Recruited (internally and externally) and managed new leaders in each business line
  - Participated heavily in recruitment, and approved hiring of all senior bankers and managers
  - Re-organized Corporate Finance and Research into tightly-run industry groups
  - Managed the launch and expansion of offices in London and Hong Kong, as well as other U.S. cities
- Served as Chief-of-Staff/Principal Advisor/Gate-Keeper for decision-making to CEO and Chairman
- Served as Acting Chief Financial Officer/Chief Administrative Officer for one year
- Chaired Investment, Risk and Underwriting committees
- Established company's first inter-departmental revenue sharing plan resulting in millions of dollars of incremental revenue for company
- Actively participated in all Board meetings, as well as committee meetings, and deliberations
- Served on board of directors of Jefferies & Company, firm's broker-dealer subsidiary
- Created compensation plans and negotiated annual compensation with the top 8-10 senior executives;
- Conceived and implemented one of Wall Street's first capital accumulation plans, requiring top 100 earners of company to take significant percentage of their compensation in deferred, equity-based grants
- Led issuance of Jefferies' first publicly-issued debt
- Led IPO, and served on board of, ITG, Inc. (electronic trading business, 1993 - 1995)
  - Recruited company's independent directors; served on Audit and Compensation committees

**Jefferies & Company**

**1988-1992**

**Vice President, Mergers & Acquisitions**

**Bear Stearns**

**1986-1987**

**Associate, Healthcare Investment Banking**

**Fried, Frank, Harris, Shriver & Jacobson**

**1982-1986**

**Associate, Corporate Law**

**EDUCATION**

**Boston University School of Law, Boston, Massachusetts**

**1982**

- J.D., Editor, American Journal of Law and Medicine

**American University, Washington, D.C.**

**1979**

- B.S., Double-major in Accounting and Government

PHILANTHROPIC AND PERSONAL

- (b) (6) [REDACTED]
  - [REDACTED]
    - [REDACTED]
    - [REDACTED]
  - [REDACTED]
    - [REDACTED]
    - [REDACTED]
- [REDACTED]
  - [REDACTED]
    - [REDACTED]
    - [REDACTED]
    - [REDACTED]
    - [REDACTED]
  - [REDACTED]
- [REDACTED]
  - [REDACTED]
- [REDACTED]
  - [REDACTED]
    - [REDACTED]
    - [REDACTED]
    - [REDACTED]
    - [REDACTED]
    - [REDACTED]
- (b) (6) [REDACTED]
  - [REDACTED]
- (b) (6) [REDACTED]
  - [REDACTED]



## REBEKAH GOSHORN

(b) (6)

### EXPERIENCE

*Senior Security Counsel, Subcommittee on Capital Markets,  
Securities, and Investment*

**House Financial Services Committee**

2129 Rayburn HOB  
Washington, DC 20515

March 2017 – present

(b) (6)

Hours per week: 50

Lead policy counsel for the Subcommittee; supervising capital markets staff.

*Counsel, Subcommittee on Capital Markets,  
And Government Sponsored Enterprises*

**House Financial Services Committee**

2129 Rayburn HOB  
Washington, DC 20515

May 2015 – March 2017

(b) (6)

Hours per week: 50

Manage hearings and prepare related briefing materials for the Subcommittee responsible for oversight of laws and programs related to the U.S. capital markets, the securities industry and government sponsored enterprises. Analyze legislation and provide feedback; help negotiate bipartisan legislation. Meet with capital markets participants and interested parties on legal and policy matters

*Counsel to Commissioner Gallagher*

**United States Securities and Exchange Commission**

100 F St NE  
Washington, DC 20549

*Supervisor: Former Republican Commissioner Daniel Gallagher*

April 2014 – May 2015

(b) (6)

Hours per week: 60

Advised SEC Commissioner on high-level agency matters, with particular focus on capital markets and trading issues. Analyzed staff enforcement recommendations, and developed recommendations for Commissioner's votes. Reviewed and analyzed draft working reports from international bodies, including the FSB and IOSCO. Served as Commissioner's liaison with Division of Trading and Markets. Advised Commissioner, and negotiated his comments on rules developed by the Division of Trading and Markets. Met with industry and regulators on legal and policy matters.

*Senior Associate: Broker-Dealer Compliance and Regulation and Futures and Derivatives Groups*

**Wilmer Cutler Pickering Hale and Dorr**

1875 Pennsylvania Avenue  
Washington, DC 20554

*Supervisor: Andre Owens*

June 2011 – April 2014

(b) (6)

Hours per week: 60

Advised broker-dealers, exchanges, futures commission merchants, and others regarding issues under the Securities Exchange Act of 1934, Commodity Exchange Act, and rules of self-regulatory organizations ("SROs"). Drafted comment letters and client memoranda regarding complex regulatory issues. Prepared compliance and supervisory policies and procedures addressing broker-dealer operations. Represented financial services firms in regulatory inquiries and enforcement actions brought by the SEC and FINRA. Prepared an application for an OTC derivatives dealer to be registered as a swaps execution facility with the CFTC.

**United States Securities and Exchange Commission**

100 F St NE  
Washington, DC 20549

*Supervisor: Randall Roy*

August 2007 – May 2011

(b) (6)

Hours per week: 45

*Special Counsel, Office of Broker Dealer Financial Responsibility, Division of Trading and Markets*

August 2009 – May 2011

Participated in Commission rulemaking matters related to nationally recognized statistical rating organizations ("NRSROs"), broker-dealer annual reporting requirements and security-based swap dealers. Prepared presentations and briefings for Commissioners. Provided interpretive guidance on broker-dealer financial responsibility rules. Reviewed, analyzed and commented on draft Dodd-Frank legislation. Trained attorneys in SRO rule filing procedures and supervised interns.

*Counsel to the Director: Division of Trading and Markets*

April 2009 – August 2009

Detailed to Office of the Director to assist and facilitate communications between Director and the Division. Organized and prepared briefing materials for NRSRO Roundtable. Participated in the Presidential Working Group, Standing Committee 1 - Standardization of OTC Derivatives, final white paper prepared for the Board of Governors of the Federal Reserve.

*Attorney: Office of Market Supervision, Division of Trading and Markets*

August 2007 – August 2009

Reviewed SRO proposed rule changes to ensure consistency with the Securities Exchange Act, including NYSE's New Market Model and filings from Alternative Trading Systems, and drafted related Commission approval orders. Reviewed and drafted approval orders of amendments to National Market System Plans.

## EDUCATION

### **University of San Diego School of Law**

May 2007

Juris Doctor

Senior Executive Editor, *Journal of Contemporary Legal Issues* (2006)

### **University of California, San Diego, International Relations, Pacific Studies Graduate School (n/k/a UCSD School of Global Policy and Strategy)**

June 2004

Master of Pacific International Affairs (n/k/a Masters of International Affairs)

Concentration in International Management and Regional Focus in Latin America

### **University of California, San Diego**

June 2002

Bachelor of Science, Management Science, Economics

Bachelor of Arts, Political Science, International Relations

## MEMBERSHIPS

California State Bar and District of Columbia Bar

Board Member, University of San Diego Law Alumni Association, Washington, DC Chapter

## HONORS AND AWARDS

Member of Dodd-Frank Implementation Team that received the SEC Law and Policy Award

Member of the Flash Crash Team that received the SEC Chairman's Award for Excellence

# Lafayette G. “Chip” Harter III

(b) (6)

US Citizen  
Full Time  
Washington D.C.

## Work Experience

**Principal, Washington National Tax Practice**  
**PricewaterhouseCoopers LLP**, Washington D.C.  
FY’16 Participation: (b) (6)

1999 – Present

Engaged in a national office international tax practice advising both U.S.-based and foreign-based multinational clients across a range of industries.

Serves as a national technical resource on the taxation of international operations and international financing transactions, reviewing opinions and supporting tax provision reviews. Areas of expertise include the foreign tax credit, subpart F, foreign currency taxation, financial transactions, and international mergers and acquisitions.

Advises many Fortune-50 companies on international tax structuring and tax policy issues.

**Partner (previously Associate)**  
**Baker & McKenzie**, Chicago, IL / Washington, D.C.  
FY’99 Participation: (b) (6)

1981 – 1999

Broad transactional and planning practice involving international tax issues.

Extensive tax controversy and tax litigation experience.

**Law Clerk to the Honorable Thomas R. McMillen**  
**United States District Court for the Northern District of Illinois**, Chicago, IL  
Salary: (b) (6)

1980 – 1981

## Education

**The University of Chicago Law School**, Chicago, IL  
J.D.  
Articles and Comments Editor on the Managing Board of the University of Chicago Law Review

June, 1980

**Harvard College**, Cambridge, MA  
B.A., *Magna Cum Laude*  
History and Science

June, 1977

## Bar Admission

District of Columbia

1994 - Present

## Current Professional Associations

**International Fiscal Association, U.S. Branch**  
*Executive Committee Member*

**American Bar Association, Section of Taxation**  
*Past Chair, Financial Transactions Committee*

**The University of Chicago Federal Tax Conference**  
*Advisory Board Member*

**George Washington University / Internal Revenue Service International Tax Institute**  
*Advisory Board Member*

## **Publications and Speaking Engagements**

### **Recent publications include:**

*"Final and Temporary Regulations under Code Sec. 385 – Limiting Tax Planning Through the Definition of Debt," Taxes*, p. 147 (March 2017) (with Jeffrey Maddrey, Jared Hermann, and Aaron Junge).

*"Code Sec. 385 Proposed Regulations Would Vitate Internal Cash Management Operations," Vol. 42, No. 4 International Tax Journal*, p. 5 (July-August 2016) (with Jared Hermann and Aaron Junge).

*"The Devil is in the Details: Problems, Solutions and Policy Recommendations with Respect to Currency Translation, Transactions and Hedging," Vol. 89, No. 3 Taxes*, p. 199 (March 2011) (with John D. McDonald, Ira G. Kawaller, and Jeffrey P. Maydew).

*Taxation of Non-Equity Derivatives*, BNA Portfolio 187.

*U.S. Taxation of Notional Principal Contracts*, BNA Portfolio 189.

### **Frequent speaker on tax topics**

Presentations to the University of Chicago Federal Tax Conference, GWU/IRS International Tax Institute, International Fiscal Assoc. World Congress, International Fiscal Assoc. USA Branch Conferences, ABA Tax Section, Practising Law Institute, Tax Executives Institute.

## **Reference**

Pam Olson\*  
PricewaterhouseCoopers LLP  
Co-Head of Washington National Tax Practice

(b) (6)



## JOSEPH BRADY HOWELL

(b) (6)

(b) (6)

Citizenship: United States  
Federal Status: YES

### OBJECTIVE

To serve as Senior Advisor to the Assistant Secretary of the Treasury for Legislative Affairs.

### CRITICAL SKILLS

Congressional and Interagency Engagement - Proven record of successfully engaging Members of Congress, Congressional Staff, and Committees as well as the Executive Branch.

Writing and Analysis - Significant experience drafting legislation and supporting materials including backgrounders, letters, and statements.

Critical Thinking - Proven ability to understand and explain complex legislative and policy concepts.

### EDUCATION

Gonzaga College High School  
Washington, DC  
Class of 2005

College of the Holy Cross  
Worcester, MA  
Class of 2009  
Bachelor of Arts in History  
GPA: (b) (6)

(b) (6)

University of St. Andrews  
St. Andrews, Scotland  
Full Year Study Abroad 2007-2008  
GPA: (b) (6) (as converted by the College of the Holy Cross)

(b) (6)

## TRAINING

Foreign Policy Initiative: 2014 Participant; Congressional Scholars Program.

The Heritage Foundation: 2012 Participant; George C. Marshall Fellowship in Grand Strategy.

## EMPLOYMENT EXPERIENCE

### *ASSISTANT STAFF DIRECTOR FOR POLICY*

House Foreign Affairs Committee

US House of Representatives

08/2017 to Present, Full Time - 45+ Hours per week, (b) (6).

Supervisor: Tom Sheehy, (b) (6)

### DUTIES:

Manage the Committee's Engagement on Major Foreign Policy Issues.

Direct policy staff in developing the committee's response to threats from Iran, North Korea, and Islamist terror groups as well as opportunities such as greater U.S. engagement in Africa.

Engage the Departments of State, Treasury, and Defense as well as the White House and Intelligence Community.

Help shape, build support for, and secure passage of legislation, especially sanctions bills.

Explain legislation directly to Members of Congress on the House floor during votes.

Build relationships with Members of Congress to advance the Chairman's priorities.

### ACCOMPLISHMENTS:

Secured high-level Executive Branch and private witness participation in committee hearings including the Deputy Secretary of State and Under Secretary of Defense for Policy on Counterterrorism in Africa and North Korean defector Thae Yong-ho.

Supported House passage of significant sanctions legislation including the Hezbollah International Financing Prevention Amendments Act and the Iran Ballistic Missiles and International Sanctions Enforcement Act.

Planned and staffed a hearing on "Sanctions and Financial Pressure: Major National Security Tools"

### *Special Assistant and Policy Analyst*

House Foreign Affairs Committee

US House of Representatives

05/2013 to 08/2017, Full Time - 45+ Hours per week, (b) (6).

Supervisor: Tom Sheehy, (b) (6)

### DUTIES:

Support the Deputy Staff Director and Staff Director.

Manage the production of hearing materials—including the Chairman's statement, memos, questions, and rebuttals—to ensure that key issues are explained in an

accessible manner.

Ensured outgoing correspondence reflects the Chairman's interest and voice.

Prepare talking points and complete other materials on the full range of foreign policy issues.

Travel in support of Committee objectives to Europe and Southeast Asia.

Draft one-pagers on legislation and hearings to explain the Committee's work.

### **ACCOMPLISHMENTS:**

Ensured successful Congressional delegations to Europe and Asia.

Supported the Committee's efforts to conduct oversight of the Iran nuclear negotiations, which included over 30 hearings and briefings.

Worked to enact the North Korea Sanctions and Policy Enhancement Act that mandates sanctions on banks and companies backing North Korea's ongoing illicit activity, including its proliferation of weapons of mass destruction.

Helped enact the Iran Sanctions Act Extension which keeps strong sanctions against the rogue regime on the books and sends a clear message that the United States will continue to oppose Iranian aggression.

### *Intern (while job searching)*

Committee on House Administration

US House of Representatives

03/2013 to 05/2013, Full Time - 40 Hours per week

Supervisor: Mary Sue Englund, (b) (6)

### **DUTIES:**

Directly supported all levels of the Committee Staff.

### **ACCOMPLISHMENTS:**

Coordinated internal and external organizations to produce the 2013 Legislative Data Standards Conference.

Drafted memorandums on issues including GPO funding and legislation impacting Smithsonian operations.

### *Various Roles*

House Subcommittee on Europe and Eurasia

US House of Representatives

Professional Staff Member (July 2012 – January 2013)

Policy Advisor (November 2011 – July 2012)

Staff Associate (August 2011 – November 2011)

Intern (February 2011 – August 2011)

Full Time - 45+ Hours per week, (b) (6)

Supervisor: Mark Walker, (b) (6)

### **DUTIES:**

Planned and supported subcommittee hearings on U.S. engagement in Europe and Eurasia.

Advised the Chairman on potential topics and witnesses and secured witness participation.

Drafted opening statements, background memos, and suggested questions.

Staffed the Chairman during hearings.

Managed the editing, printing and archiving of subcommittee records.

#### **ACCOMPLISHMENTS:**

Rose from serving as an intern to a senior aide to the Subcommittee Chairman.

Ensured successful Congressional delegations to Europe and Eurasia.

Advised the Chairman on potential destinations and meetings with foreign officials.

Developed detailed itineraries in cooperation with U.S. and foreign diplomats and the U.S. Air Force.

Organized and archived substantial post-trip summaries and detailed financial reports.

#### **INTERNATIONAL TRAVEL**

(b) (6)



# David J. Kautter

(b) (6)

## PROFESSIONAL EXPERIENCE

Partner in Charge, Washington National Tax

Partner, RSM US LLP

2014-Present

Chief operating and management executive for the firm's Washington National Tax Office (WNT). Responsible for developing strategy and leading day-to-day operations of WNT. Also responsible for maintaining relationships with tax writing committees and staffs on Capitol Hill, the US Treasury Department, Internal Revenue Service National Office, law firms, other major accounting firms and the press. Additional responsibilities include serving as a member of the firm's Tax Leadership Team, leading a (b) (4) tax practice, and playing a leading role in the nationwide expansion of the tax consulting practice.

- Developed and implemented a strategic plan focused on converting an organization with a reactive culture into an organization with a proactive, customer-oriented approach to client service and state-of-the-art technical knowledge.
- Implemented a program for enhancing the quality of tax advice rendered to clients throughout the tax practice based on: (1) development and implementation of standardized, repeatable business processes and methodologies for certain types of tax engagements; and (2) timely sharing of knowledge throughout the tax practice with respect to recent tax technical developments.
- (b) (4)
- Frequently quoted in the national press (e.g., Wall Street Journal and Politico) and various tax trade publications.

Managing Director, Kogod Tax Center

Executive in Residence,  
American University

2011-2014

Inaugural leader of a unique, independent, non-partisan tax research institute designed to develop effective solutions to critical tax issues facing entrepreneurs, small businesses and middle-income taxpayers. The Tax Center conducts research and surveys and disseminates the results of its work in a balanced, informative format. Responsible for strategic direction and daily operations.

- Developed and implemented a comprehensive strategic plan as well as a focused, pragmatic business plan to guide the Tax Center in its initial years of operation and beyond.
- Designed and implemented a dynamic process for: (1) identifying key tax issues affecting entrepreneurs, small businesses, and middle-income taxpayers; (2) developing effective solutions; (3) raising the visibility of key issues; and (4) providing educational opportunities on crucial tax issues through a range of symposiums, workshops, and conferences.
- Initiated a broad range of relationships with policy-makers, scholars, tax practitioners, economists, business owners, and taxpayers to assure the Tax Center is gathering information in a comprehensive manner, identifying critical issues and communicating with key stakeholders in an effective manner.
- Developed relationships with key members of the media to assure public awareness of critical tax issues and call attention to possible solutions.
- Drafted articles, op-eds, letters to the editor, Congressional testimony, and regulatory comments to the IRS to call attention to important current and evolving issues affecting entrepreneurs, small businesses, and middle-income taxpayers.
- Testified before House Ways and Means Committee on tax provisions in the Affordable Care Act and House Small Business Committee on the biggest tax problems facing small businesses.
- Frequently quoted in the national press (e.g., New York Times, Washington Post, Los Angeles Times, US News and World Report); financial press (e.g., Wall Street Journal, Bloomberg, and Forbes); and major media outlets (e.g., Fox News Channel, CNN, CNBC, MSNBC, Fox Business News, Today Show, CSPAN, WTOP radio (DC), and WNYE radio (NY)).
- Outstanding Teaching Award (2014) and Outstanding Service Award (2014).

## Director of National Tax

Partner, Ernst & Young LLP

2000-2010

Chief operating and management executive for the firm's National Tax practices (NT), which are comprised of more than 1,500 professionals in 43 separate practice areas in over 60 US and global locations. Responsibility for strategic direction, day-to-day operations, and quality of technical advice rendered by the firmwide Tax practices. Also responsible for maintaining relationships with tax writing committees and staffs on Capitol Hill, the US Treasury Department, Internal Revenue Service National Office, law firms, other major accounting firms and the press. The National Tax practices are responsible for providing technical analysis and developing technical, legislative and regulatory tax guidance for the firm's clients and the entire US tax practice on all areas of federal and state taxation, as well as providing expatriate tax services to Americans working abroad.

- Played a pivotal role in making NT a source of marketplace differentiation for EY by focusing on technical excellence, high-caliber people, outstanding quality service, and a comprehensive program of communication with the press, clients and major stakeholders.
- Executed a plan to broaden and deepen relationships between EY tax practice and NT with key clients and stakeholders through one-on-one meetings and workshops, while simultaneously enhancing the EY Tax brand through conferences, webcasts, press releases, and other activities.
- During the first two years of my tenure, led turnaround of a consistently unprofitable organization to a profit in 14 months.
- (b) (6), (b) (4)
- Launched programs to create an inclusive culture where all professionals could grow and achieve their full potential regardless of their gender, ethnicity, disability, or sexual orientation.
- Worked with clients of all sizes to resolve complicated technical and procedural matters in all areas of the tax law.
- Developed EY position on matters of tax policy and determined EY position on all significant technical matters.
- Led Tax practice efforts to identify and build new service lines and individual tax service offerings.
- Acknowledged leader in mentoring and developing leadership skills in professionals at all levels within the organization.
- Developed and administered numerous educational and knowledge-sharing programs for internal and external stakeholders, including the Tax Educators Symposium, Executive Tax Update (annual education series for more than 2,000 of Ernst & Young's senior US Tax professionals), Tax Executive Workshops, and Tax Executives Study Groups (held in several locations around the country).
- Designed and taught internal tax education courses in the areas of compensation, benefits, partnerships, estates, and trusts.
- Authored over 45 articles, edited more than 250 articles, and spoke extensively at tax and industry conferences.
- Served as a member of a three-person leadership team responsible for strategy and day-to-day operations of EY's \$2.8 billion tax practice.
- Served as a member of the firm's Partner Advisory Council, Americas Tax Advisory Board (15 years), and Tax Operating Committee (15 years).

## National Director of Compensation and Benefits Tax Services

Partner, Ernst & Young LLP

1982-2002

- Served as the senior technical resource and spokesman for the firm in the areas of design and taxation of compensation and benefits, including executive compensation, stock-based compensation, fringe benefits, and qualified retirement plans.
- Consulted with clients of all sizes on sophisticated design, planning, procedural and technical matters, and generated a continuous stream of related external and internal publications and press releases.
- Served as the primary ERISA adviser to a number of the firm's largest clients dealing extensively with senior management, Human Resource Departments, General Counsel Offices, and Tax Departments.
- Provided ongoing counsel about matters relating to the US firm's own qualified plans, retirement benefits, and other human resource matters.
- Led a highly chargeable, focused, functional group.

National Director of Human Resource Services (HRS) Partner, Ernst & Young LLP 1994-2000

Primary responsibility for the strategic direction and day-to-day operations of three practices: Human Resource Consulting (HRC), Global Employee Solutions (GES), and Personal Financial Counseling (PFC).

- Spearheaded turnaround of three unprofitable businesses to profit within 12 months.
- (b) (6), (b) (4)
- Set the strategic direction and led the integration of the HRC practice from management consulting into the tax service line while converting the practice from a consistently unprofitable practice to one with profitability in excess of 150% of the mainline tax practice on a per partner basis. The integration was completed pursuant to a carefully designed strategic plan and implemented with low employee turnover and no service delivery problems. The result was a dramatic reversal in the metrics of the practice (especially its profitability), increased client satisfaction, and increased morale within the practice.
- Conducted market research with respect to domestic and international human resource needs. Research was used as a means of setting strategy and formed the basis for key initiatives for all three practices.

National Director of Tax Methodology Development and Delivery Partner, Ernst & Young LLP 1995-1997

- Designed and led the implementation, and operation of a process to develop standardized, repeatable business processes and methodologies to enhance quality, improve profitability, and increase client satisfaction in the delivery of tax services.
- In addition to methodologies, developed and implemented a knowledge-sharing process to disseminate recent tax developments within 24 hours to the firm's 6,000 tax professionals, 20,000 tax clients, and the press.
- Developed measures and monitored results to ensure a constant flow of methodologies and tax developments. Over 150 methodologies were created and over 5,000 developments were communicated during a three-year period.
- Developed distribution, implementation, and monitoring systems to ensure that developed methodologies were incorporated in the day-to-day delivery of client services.

Director of National Tax Partner, Arthur Young 1986-1989

- Set strategic direction and operated on a day-to-day basis the National Tax practice of one of the predecessor firms to Ernst & Young.
- Focused on implementing a culture of specialization and diversity.
- Provided technical and procedural advice to clients of all sizes on a full range of federal tax issues.
- Served as the firm's primary spokesman on matters of tax policy and tax development.

Tax Legislative Counsel for former US Senator John C. Danforth 1979-1982

- Advised Senator Danforth, a member of the Senate Finance Committee, on matters affecting taxation, securities law, and banking regulation.
- Drafted the original version of the Research & Development Tax Credit.

Tax Manager, National Tax Department Arthur Young 1974-1979

- Researched and provided advice to clients on a full range of corporate and individual tax issues, including mergers and acquisitions, partnerships, foreign taxation, tax accounting methods and inventories, compensation and benefits, timing of income, and allowability of deductions.

## EDUCATION — PROFESSIONAL LICENSES — MEMBERSHIPS

- Georgetown University Law Center – Juris Doctor (1974)
- University of Notre Dame – Bachelor of Business Administration, with high honors (1971)
- Certified Public Accountant and Attorney licensed in the District of Columbia
- Certified Global Management Accountant
- Member of the American Institute of Certified Public Accountants
- Member of the District of Columbia Bar and American Bar Association
- Fellow, American College of Employee Benefits Counsel

### HIGHLIGHT

Licensed to practice public accounting in:  
District of Columbia

Licensed to practice law before the:  
US Supreme Court  
US Tax Court  
US Claims Court

## TEACHING

### American University

- Adjunct professor (2014-present)

## CIVIC ACTIVITIES

(b) (6)

(b) (6)

(b) (6)

### Tax Analysts

- Member, Board of Directors
- Chair, Human Resources Committee

# Andrew K. Maloney

(b) (6)

## Professional Experience

Seasoned professional with more than twenty-five years of experience managing complex public policy issues and advancing client and corporate agendas with significant impacts on the bottom line. Publicly recognized as one of the top government affairs executives in Washington, DC. Unique blend of management experience in corporate, public relations, Presidential campaigns and Congressional affairs.

### **Vice President of External & Government Affairs, Hess Corporation**

2014 – Present

- Serve as corporate officer and design strategic program to successfully manage and advance external affairs agenda for global independent energy company with operations in North America, South America, Europe, Western Africa and Southeast Asia
- Lead team of more than forty direct and indirect reports in international, federal and state government and regulatory affairs, internal and external strategic communications, development and administration of the corporate social responsibility function
- Directly advise CEO and Board of Directors on U.S. and international political risks and opportunities and design strategies to manage risks and leverage opportunities
- Positioned Hess CEO as go-to energy CEO in key government circles.
- Developed communications strategy to position company among most highly valued energy companies on Fortune 100 list
- Manage extensive set of relationships with key domestic and international stakeholders including senior government officials, members of Congress, the diplomatic community, and policy influencers
- Co-lead the energy industry's effort to repeal decades-old crude export ban, the company's top legislative priority in 2015; prevented imposition of tax increases on oil and gas industry over past five years; and mitigated several regulations imposed on the sector

### **Vice President of Government Affairs, Hess Corporation**

2012 – 2014

- Tasked by CEO to design, stand-up and open the company's first-ever government affairs office in Washington
- Created entirely new team of international, federal and state government affairs professionals; widely recognized to be among the most talented team of energy practitioners in Washington today
- Played central role in helping support the company successful transition to pure-play E&P status

### **CEO and Managing Director, Ogilvy Government Relations**

2005 – 2012

- Managed more than 15 lobbyists, generating more than (b) (6), in annual revenue, placing the firm as top five government affairs firm in Washington, D.C.
- Represented multiple Fortune 100 companies before Legislative and Executive branches, specializing in energy, environment, financial services and transportation-related issues
- Secured key outcomes ranging from supporting Unocal acquisition by Chevron to establishing a multi-million dollar ultra-deep water oil and gas research program

### **Partner and Co-Founder, The Federalist Group**

2002 – 2005

- Co-Founder of what came to be one of Washington's leading bipartisan government affairs firms
- Developed strong ties with Administration and Congressional leadership that helped secure significant legislative victories for clients
- (b) (4)
- Successfully sold the firm to WPP, a global public affairs company

### **Legislative Director, House Majority Whip Tom DeLay (R-TX)**

1999 – 2002

- Managed the congressional office and the district office in Texas
- Maintained interface between key Texas state officials including Governor's office and Capitol Hill
- Developed and executed member's legislative strategy across number of key priority issues, such as energy, environment and judiciary issues



**Legislative Director and Counsel, Rep. Ed Bryant (R-TN)**

1998 – 1999

- Oversaw all legislative activities for the office, including hearing preparation, bill drafting and constituent services
- Responsible for judiciary, armed services, veterans affairs, energy and environmental legislative issues
- Served as counsel during impeachment proceedings of President Clinton

**Legislative Assistant, Rep. Roger Wicker (R-MS)**

1997 – 1998

- Responsible for managing congressman's Appropriations Committee portfolio, which included energy, environment, postal and judiciary-related issues
- Acted as lead staffer for campaign finance action team, responsible for drafting amendments, statements and letters

**Congressional Liaison, Robertson Monagle and Eastaugh**

1995–1997

- As a law school student, assisted partners of DC-based Alaska law firm with legislative initiatives
- Responsibilities included hearing preparation, legislative drafting, advocacy for natural resource and tribal issues represented at the firm

**Vice President, The Carlyle Gregory Company**

1992 – 1994

- Managed political office, working with candidates running for federal and state offices on all aspects of campaign
- Oversaw development of direct mail program; generated phone bank scripts, radio and television commercials and press releases

**Campaign Manager, State Sen. Thomas Norment (R-VA)**

1991 – 1992

- Successfully managed first state Senate race of Mr. Norment, the current Majority Leader of the VA Senate
- Directed communications, including direct mail, phone banks, radio and television commercials
- After campaign, joined legislative staff in General Assembly, managing committee meetings, legislative initiatives and constituent requests

*Other Experience***Legislative Outreach Director, Romney Presidential Transition Team**

2012

- Served as Legislative Affairs Director for Republican presidential nominee Mitt Romney
- Helped candidate prioritize, organize and physically execute outreach to members of Congress
- Led transition efforts to implement legislative plan for lame duck, nominating cabinet and map out blueprint for first 100 days in office

**Education**

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Randolph-Macon College

Bachelor of Arts, Political Science

Awarded 1991

Columbus School of Law at Catholic University

Juris Doctor

Awarded 1996

**Boards and Professional Memberships**

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Randolph-Macon College. Member, Board of Trustees

Meridian International Center. Member, Board of Trustees and Executive Committee

Business Government Relations Council. Member, Board of Directors

Chamber of Commerce. Member, Public Affairs Council

John Hay Institute. Chairman, Energy Security Committee

Young Presidents' Organization. Gold Member

Arthur Page Society. Member

District of Columbia Bar Association

Virginia State Bar Association

(b) (6)

Cleveland Park Historical Society. Former Board Member

## DAVID R. MALPASS

David R. Malpass is an American economist. He served as Deputy Assistant Treasury Secretary under President Ronald Reagan, Deputy Assistant Secretary of State under President George H. W. Bush, and Chief Economist at Bear Stearns. In 2008, he founded Encima Global, an economic research firm. During the 2016 U.S. presidential election, Malpass served as an economic advisor to Donald Trump.

Malpass holds a B.A. in physics from Colorado College and an MBA from the University of Denver. He studied international economics at Georgetown University's School of Foreign Service. He speaks Spanish, Russian, and French.

During the presidencies of Ronald Reagan and George H. W. Bush, Malpass worked on an array of economic, budget, and foreign policy issues including the 1986 tax cut and the Latin debt crisis. In addition to his Treasury and State Department positions, Malpass served as Senior Analyst for the Senate Budget Committee in 1984-1986, Republican staff director of Congress's Joint Economic Committee from 1989 to 1990, and as a member of Congress's blue-ribbon panel on budget scoring from 2002 to 2003.

Malpass has been a frequent contributor to the op-ed section of The Wall Street Journal and wrote a regular column in Forbes magazine.

From 1977 to 1983, Mr. Malpass worked in Portland, Oregon. He was a CPA with Arthur Andersen's systems consulting group, the controller at Consolidated Supply Co., and a contract administrator at Esco Corporation, a steel foundry.

Malpass sits on the boards of UBS Funds, the Manhattan Institute and the Gary Klinsky Children's Centers. He is a former director of New Mountain Finance Corp, the National Committee on United States-China Relations, the Council of the Americas, and the Economic Club of New York.

Mr. Malpass lives in New York City (b) (6).

**Current  
Position**

**SULLIVAN & CROMWELL LLP**

Washington, DC • 2009–present

*Partner* (2011–present)

*Special Counsel* (2009-2010)

Practice includes general corporate litigation, government investigations, and regulatory disputes on behalf of major financial institutions and international companies, focusing primarily on complex disputes. Co-head of firm's Cybersecurity practice. Awarded 2016 Distinguished Legal Writing Award, Burton Awards for Legal Achievement. Named *New York Law Journal* "Rising Star," 2013. Representations include:

- Volkswagen, in Justice Department investigation of noncompliant diesel emissions software;
- BP, in negotiation of \$18.6 billion settlement of federal, state, and local governmental claims arising out of Deepwater Horizon oil spill;
- JPMorgan Chase Bank and various subsidiaries, in mortgage-industry-related investigation by Senate Permanent Subcommittee on Investigations and civil litigation matters, including multi-billion-dollar disputes with FDIC over liabilities of Washington Mutual Bank;
- Prudential Financial, in challenge to Financial Stability Oversight Council's designation of Prudential as a "Systemically Important Financial Institution";
- A national bank, in Justice Department investigation of corruption in international soccer;
- Global Switzerland-based bank, in arbitration and litigation over alleged securities fraud;
- Leading American bank, in interactions with federal, New York State, and New York City governments regarding freedom-of-information matters; and
- European defense contractor, Australian bank, and American ratings agency in various SEC and Justice Department investigations.

**Prior  
Experience**

**THE WHITE HOUSE**

Washington, DC • 2006–2009

*Deputy Assistant to the President and Deputy Staff Secretary* (2007–2009)

Reviewed, cleared, and provided to the President nearly all official documents, including bills, speeches, proposed Executive Orders and Presidential Directives, informational and action memoranda, incoming and outgoing correspondence, nominations and appointments, and daily briefing materials, including for classified matters. Worked with the President daily, including personally presenting documents to the President for signature and briefing him on proposed actions. Accompanied the President on domestic and international travel. Coordinated White House review of all Presidential documents; coordinated agency review of proposed Presidential remarks, including securing input from the Secretaries of State, the Treasury, and Defense, the Attorney General, the Director of National Intelligence, and the Joint Chiefs of Staff. Provided final clearance on all documents provided to the President or released on behalf of the White House. Supervised offices of the Staff Secretary, Presidential Correspondence, Records Management, and the Executive Clerk. Coordinated the awarding of the Presidential Medal of Freedom and the Citizen's Medal. Led classified continuity-of-government program.

*Associate Counsel to the President (2006–2007)*

As attorney in White House Counsel's Office, provided strategic guidance on matters relating to national security, especially counterterrorism and intelligence; supervised litigation involving White House offices; coordinated selection, nomination, and confirmation activities for federal judges and U.S. Attorneys, especially in the Second, Sixth, and Seventh Circuits, their respective district courts, and the Court of Appeals for the Armed Forces. Portfolio included oversight of matters relating to the Department of Defense, the Intelligence Community, the Department of Veterans Affairs, the U.S. Postal Service, the President's Privacy and Civil Liberties Oversight Board, the White House Military Office, the Federal Advisory Committee Act, and the White House Advance Office.

**UNITED STATES DEPARTMENT OF JUSTICE, OFFICE OF LEGAL POLICY**

Washington, DC • 2004–2006

*Deputy Assistant Attorney General (2005–2006)*

*Counselor to the Assistant Attorney General (2005)*

*Senior Counsel (2005)*

*Counsel (2004–2005)*

Oversaw portfolio encompassing national security law and policy, counterterrorism law and policy, intelligence community matters, and international law issues. Coordinated departmental and interagency policy development and implementation initiatives; conducted legal and policy analysis; supervised preparation of legislation, reports, and Congressional testimony; prepared and gave policy presentations. In addition, researched judicial nominations, participated in White House interviews of potential judicial nominees, and assisted in coordinating nomination and confirmation activities for judicial nominees. Served as counsel of record in matters before the U.S. Courts of Appeals, including for oral argument.

- Provided strategic advice and policy briefings to the Attorney General, senior White House officials, National Security Council staff, and Members of Congress regarding national security matters, including policy issues and litigation and legislative strategy regarding intelligence, counterintelligence, and counterterrorism.
- Oversaw departmental coordination with the State Department and other federal agencies in preparation of U.S. positions regarding international instruments; and served as a member of the U.S. delegation in interactions with the United Nations.
- Participated in, and oversaw aspects of, initiative to restructure the Justice Department to centralize national security functions; prepared departmental response to WMD Commission recommendations regarding the department's and the FBI's national security capabilities.
- Coordinated departmental policy input into reauthorization of the USA PATRIOT Act.
- Coordinated interagency preparation of joint recommendation from the Attorney General, Director of Central Intelligence, and Secretary of Homeland Security to the President regarding collection and dissemination of terrorism information.
- Participated in drafting and implementation of the Intelligence Reform and Terrorism Prevention Act of 2004.
- Advised National Security Council staff regarding responses to the 9/11 Commission Report.
- Participated in nomination and confirmation efforts for Chief Justice John Roberts and Justice Samuel Alito, including moot hearings.

**SULLIVAN & CROMWELL LLP**

New York, New York • 2001–2004

*Associate*

Performed legal analysis, client counseling, legal writing, depositions, oral argument, witness examination, and other tasks for general corporate litigation practice, focusing primarily on complex transactional and securities disputes. Representations included:

- Global Swiss financial conglomerate in multi-forum Enron securities litigation;
- Major multinational investment bank in AOL TimeWarner securities litigation;
- London-based financial institution in lawsuit relating to manipulation of commodities markets;
- Canadian and Belgian breweries in merger litigation and in lawsuits by Mexican brewery over conduct of joint venture, including post-suit counseling on future conduct of joint venture.

*Pro bono* representations included capital inmate on federal *habeas corpus* appeal.

**HONORABLE LAURENCE H. SILBERMAN**

UNITED STATES COURT OF APPEALS FOR THE D.C. CIRCUIT

Washington, DC • 2000–2001

*Law Clerk*

**HONORABLE DENNIS JACOBS**

UNITED STATES COURT OF APPEALS FOR THE SECOND CIRCUIT

New York, New York • 1999–2000

*Law Clerk*

**KIRKLAND & ELLIS**

Washington, D.C. • 1999

*Summer Law Clerk*

**DAVIS POLK & WARDWELL**

London, England; New York, New York • 1998

*Summer Associate*

**UNITED STATES ATTORNEY'S OFFICE FOR THE EASTERN DISTRICT OF NEW YORK**

Brooklyn, New York • 1997

*Legal Intern, Special Prosecutions Group*

Undertook legal and factual research for political corruption prosecution; assisted in prosecution of terrorist conspiracy to blow up Atlantic Avenue subway station; reported to then-Chief of Criminal Division Gordon Mehler and then-Chief of Special Prosecutions (subsequently Chief of Criminal Division) Jason Brown.

**LANSING STATE JOURNAL**

Lansing, Michigan • 1993–1995

*Sports Stringer*

Covered Lansing-area and University of Michigan sports for state capital's daily newspaper.



**Education YALE LAW SCHOOL**

Juris Doctor • 1999

*Honors and Activities:* *Yale Law Journal*, Articles Editor;  
*Yale Law & Policy Review*, Senior Editor;  
 Federalist Society;  
 Elected Class Representative;  
 Research Assistant and Consultant, Professor William Eskridge, Jr.;  
 Research Assistant, Professor Henry B. Hansmann;  
 Three-time intramural basketball finalist.

**UNIVERSITY OF MICHIGAN**

COLLEGE OF LITERATURE, SCIENCE &amp; THE ARTS

Bachelor of Arts (with High Distinction) in Economics and Political Science • 1996

*Honors and Activities:* Phi Beta Kappa;  
 Alvin & Arvella Bentley Scholar (full academic scholarship);  
 Six-term James B. Angell Scholar (all As, consecutive terms);  
 Pi Sigma Alpha political science honor society;  
 Horace Rackham Scholar;  
*The Michigan Daily*, Opinion Columnist, Sports Editor, Staff Writer;  
 1993 intramural basketball champion.

**LONDON SCHOOL OF ECONOMICS**

Studies in Economics and Government • 1994–1995

*Honors and Activities:* Student newspaper;  
 Intercollegiate basketball team (awarded Full Colours).

**Clearance (b) (1) (A)****Bar**

State of New York, 2001;

**Admissions**

District of Columbia, 2009;  
 Supreme Court of the United States, 2005;  
 United States Court of Appeals for the District of Columbia Circuit, 2010;  
 United States Court of Appeals for the Second Circuit, 2010;  
 United States Court of Appeals for the Third Circuit, 2015;  
 United States Court of Appeals for the Fourth Circuit, 2001;  
 United States Court of Appeals for the Fifth Circuit, 2016;  
 United States Court of Appeals for the Ninth Circuit, 2006;  
 United States District Court for the District of Columbia, 2010;  
 United States District Court for the Eastern District of New York, 2002;  
 United States District Court for the Southern District of New York, 2002;  
 United States District Court for the Southern District of Texas, 2003;  
 United States Court of Federal Claims, 2009.

**Professional and Civic** Alexander Hamilton Society (2010–present),  
 Co-chair, D.C. Chapter (2012–present),

**Associations** Bretton Woods Committee (2015–present);  
 Council on Foreign Relations (term member 2005–2011);  
 Federalist Society (1997–present),  
 International and National Security Law Practice Group Executive Committee (2010–present);  
 Heritage Foundation/Chertoff Group National Security Law Working Group (2014–present);  
 International Institute for Strategic Studies (2009–present);  
 John Hay Initiative, International Law Working Group (2015–present);  
 Romney Justice Advisory Committee (2011–2012);

Romney-Ryan Readiness Team (2012);  
 U.S. Chamber Litigation Center Financial Services Advisory Committee,  
 U.S. Chamber of Commerce (2015–present).

*Alumni* Yale Law School Association, Executive Committee (2012–2015), Nominating Committee (2015);  
*Activities* Yale Law School Association of New York City, Board of Directors (2003–2004);  
 Yale Law School Class Secretary (2013–present);  
 Yale Law School Fund, Class Agent (1999–2004);  
 Yale Law School Reunion Gift Campaign, Co-chair (2003–2004), Class Committee (2013–2014).

*Congressional* U.S. House of Representatives, Subcommittee on Crime, Terrorism, and Homeland Security,  
*Testimony* *Legislative Hearing on H.R. 4239, the Animal Enterprise Terrorism Act* (May 23, 2006).

*Selected* Law.com contributor (2014–present);  
*Publications* Federalist Society Blog contributor (2016– );  
*City Fair Housing Suits May Have Unfortunate Consequences*, Law360 (Nov. 15, 2016);  
*D.C. Circuit Invalidates CFPB Structure as Unconstitutional;*  
*Rejects ‘Flawed’ Statutory Application in Enforcement Proceeding,*  
 COLUMBIA LAW SCHOOL BLUE SKY BLOG (Oct. 20, 2016) (with Steven Meyer *et al.*);  
*A Guide to the Cybersecurity Act of 2015,*  
 Law360 (Jan. 12, 2016) (with John Evangelakos *et al.*);  
*The Cybersecurity Act of 2015,*  
 COLUMBIA LAW SCHOOL BLUE SKY BLOG (Jan. 6, 2016) (with John Evangelakos *et al.*);  
*SEC Enforcement: SEC Issues Guidance on Approach to Forum Selection in Contested Actions,*  
 COLUMBIA LAW SCHOOL BLUE SKY BLOG (June 15, 2015) (with Nicolas Bourtin *et al.*);  
*How Cybercriminals Are Targeting Corporate Transactions,*  
 Law360 (May 19, 2015) (with Judson Littleton);  
*President Obama Issues Executive Order Authorizing Sanctions for Malicious Cyber Activities,*  
 COLUMBIA LAW SCHOOL BLUE SKY BLOG (April 17, 2015) (with Eric Kadel, Jr.);  
*“The FBI Followed You”: Why Twitter’s Surveillance-Disclosure Lawsuit Puts U.S. Intel Agencies*  
*in a Quandary*, Law.com (April 16, 2015);  
*Perez v. Mortgage Bankers Association,*  
 HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE & FINANCIAL REGULATION  
 (Mar. 29, 2015) (with Jeffrey Wall *et al.*);  
*Supreme Court Clarifies Liability for Opinions in Registration Statements,*  
 HARVARD LAW SCHOOL FORUM ON CORPORATE GOVERNANCE & FINANCIAL REGULATION  
 (Mar. 28, 2015) (with Robert Giuffra Jr. *et al.*);  
*“An Emblem of a Deeper Pathology in the Criminal Code”:*  
*Thoughts on the Supreme Court’s Ruling that, Sometimes, Fish Aren’t Tangible Objects,*  
 Law.com (Mar. 4, 2015) (awarded 2016 Burton Distinguished Legal Writing Award);  
*Judicial Review of SEC Consent Judgments,*  
 47 REVIEW OF SECURITIES & COMMODITIES REGULATION 275 (Dec. 3, 2014);  
*Second Circuit Adopts Bright-Line Rule for Determining Customer Status for Mandatory FINRA*  
*Arbitration*, Business Law Today (Sept. 2014) (with Robert Giuffra Jr. *et al.*);  
*As End of Supreme Court Term Looms, High-Profile Business Disputes Remain,*  
 Law.com (May 24, 2014);  
*Patriot Act Protects U.S.,*  
 Lansing State Journal (March 19, 2006);  
 United States Department of Justice, *Delayed Notice Search Warrants:*  
*A Vital and Time-Honored Tool for Fighting Crime* (2004) (principal author);  
*The Revolutionary Second Amendment,*  
 51 ALABAMA LAW REVIEW 673 (2000).

*Remarks and Speeches*

*Cybersecurity and Crisis Management in the Digital Age*, 2016 Sullivan & Cromwell LLP/RANE Risk Management Summit, Dec. 2016 (moderator);

*The Cities Fight the Banks: The Case of Bank of America v. City of Miami*, Congressional Civil Justice Caucus Academy, Law & Economics Center, Antonin Scalia Law School, George Mason University, Nov. 2016 (panelist);

Legal Writing and Oral Argument Workshop, Yale Law School, Nov. 2016;

Guest lecturer, Contracts, Fordham Law School, Nov. 2016;

*U.S. Supreme Court in Focus: Bank of America Corp. v. City of Miami*, D.C. Bar, Oct. 2016 (panelist);

*Ethics in Banking and Financial Services*, Practising Law Institute, Aug. 2016 (panelist);

*Financial Markets in the Aftermath of Cyberattacks*, University of Virginia Symposium on Impediments to the Global Economy, Feb. 2016 (panelist);

*Litigating Against the Government*, Sullivan & Cromwell London Investigations and Enforcement Conference, Oct. 2015 (panelist);

*Cybersecurity: Private Sector Faces Increasing Regulatory Risk from Agency Enforcement and Informal "Guidance" Becoming Standard of Care*, Federalist Society Teleforum, Oct. 2015 (panelist);

*Ethics in Banking and Financial Services*, Practising Law Institute, Aug. 2015 (panelist);

Commencement Speaker & Recipient of Distinguished Alumni Award, Williamston High School, Williamston, Michigan, June 2015;

Council on Foreign Relations "Window on Washington" Corporate Teleconference on Privacy Policy, May 2015 (presider);

Legal Writing Project Seminar, Yale Law School, Dec. 2014;

*Ethics in Banking and Financial Services*, Practising Law Institute, Aug. 2014 (panelist);

*Ethics in Banking and Financial Services*, Practising Law Institute, Aug. 2013 (panelist);

*The State of the Terrorism Fight*, Alexander Hamilton Society event with National Counterterrorism Center Director Matt Olsen, May 2012 (moderator);

Keynote speaker, 2008 Teacher Recognition Dinner, Presidential Scholars Program, Washington, D.C., June 2008;

*Careers in International Law*, American Society of International Law presentation, Brooklyn Law School, 2004 (panelist).

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**BRIAN R. MORGENSTERN**

(b) (6)

Citizenship: United States  
Availability: Full-Time, Permanent  
Veterans' Preference: No  
Federal Employment Status: N/A  
Desired Location: Washington, DC

**WORK EXPERIENCE**

**Attorney**

*Gibson, Dunn & Crutcher, LLP*  
200 Park Avenue  
New York, NY 10166

November 2010 – present  
Full-Time

Supervisor: Randy Mastro (b) (6) (Current employer (b) (6))  
Salary (including bonus): (b) (6)

- Member of the three-time, reigning national Litigation Department of the Year
- Represent clients across numerous industries, working constructively with senior corporate leadership providing sound advice to advance legal & strategic interests
- Manage high-profile client relationships, teams of junior attorneys, experts & vendors
- Develop & execute crisis communications strategies for corporations & individuals
- Achieved two unanimous appellate victories briefing & arguing constitutional issues
- Litigate in state & federal courts from pleadings to trial
- Prepare & deliver public comments before regulatory agencies, boards & committees
- Draft Freedom of Information requests; appeal denials to administrative bodies
- Conduct corporate internal investigations; manage e-discovery & interview witnesses
- Successfully negotiate settlements with federal & state enforcement agencies
- Perform legal research; author memoranda regarding best compliance practices

**Commentator & Analyst**

New York, NY

November 2012 – present  
Ad hoc basis

Supervisor: N/A  
Salary: N/A

- Participate in weekly political debates on CNN Newsroom (2015 – present)
- Analyze & debate issues weekly on Fox News Strategy Room (2015 – 2017)
- National Review Institute Regional Fellow (2014)
- Appearances on The Kelly File, CNN's New Day, Fox & Friends, and Kennedy
- Guest on Sean Hannity Radio Show, CBS Radio & SiriusXM Patriot Radio
- Published columns in the New York Daily News & multiple legal publications



**Campaign Manager**

*Paul Niehaus for New York State Assembly*  
122 East 83<sup>rd</sup> Street  
New York, NY 10028

May – November 2010  
Full-Time

Supervisor: Paul Niehaus (b) (6)

Salary: (b) (6)

- Supervise vendors & volunteers; coordinate get-out-the-vote operations
- Author policy statements; create palm cards, robo calls & mailers

**Fundraiser**

*National Republican Senatorial Committee*  
425 2<sup>nd</sup> Street NE  
Washington, DC 20002

February – August 2007  
Full-Time

Supervisor: Josh Novotney (b) (6)

Salary: (b) (6)

- Staff senators during call sessions & events
- Draft talking points & letters to donors

**Clerk**

*U.S. House Committee on Natural Resources*  
Ford House Office Building  
Washington, DC 20002

May 2006 – January 2007  
Full-Time

Supervisor: Robert Howarth (b) (6)

Salary: (b) (6)

- Coordinate logistics for subcommittee hearings & compile hearing record
- Author briefing papers & bill reports for legislation before the committee

**Staff Assistant**

*Office of Rep. Rodney Frelinghuysen (NJ-11)*  
2306 Rayburn House Office Building  
Washington, DC 20515

May 2005 – May 2006  
Full-Time

Supervisor: Katie Hazlett (b) (6)

Salary: (b) (6)

- Draft letters to constituents & assist legislative staff
- Give tours of U.S. Capitol & arrange constituent visits to other federal sites



## EDUCATION

**Columbia Law School**, New York, NY

May 2010

Juris Doctor, (b) (6)

- Harlan Fiske Stone Scholar (honors for superior academic achievement)
- Columbia Science & Technology Law Review
- Externship: Hon. Joseph Bianco, U.S. District Judge, Eastern District of New York

**Georgetown University**, Washington, DC

May 2005

Bachelor of Arts, *Magna Cum Laude*, (b) (6)

- Major in Government; Minors in Spanish & Sociology
- First underclassman student body president
- Board member of The Corp, a student-run company offering groceries & services
- Dean's List (all semesters)
- Omicron Delta Kappa National Leadership Honor Society, Pi Sigma Alpha Political Science Honor Society, Alpha Kappa Delta International Sociology Honor Society

## ADDITIONAL POLITICAL INVOLVEMENT

- Florida GOP Victory: campaigned for POTUS/VP, Sen. Rubio & Rep. Mica (2016)
- Sen. Rubio's New Century All-Americans Finance Program: NY Chairman (2016)
- Manhattan Republican Party: Vice President (2012 – present)
- New York Young Republican Club: President (2013 – 2015)
- Scott Brown for U.S. Senate & Lee Zeldin for Congress: organized volunteers (2014)
- Rudy Giuliani Presidential Committee: intern in General Counsel's office (2008)

## OTHER SKILLS & INTERESTS

- (b) (6)

**Gerald Stephen Perry III**

(b) (6)

**Country of Citizenship:** United States of America

**Social Security #:** (b) (6)

**Veteran's Preference:** N/A

**Federal Civilian Status:** N/A

**Contact Current Employer:** No

**AVAILABILITY**

**Job Type:** Permanent

**Work Schedule:** Full Time

**DESIRED LOCATIONS**

US-DC-Washington

**Job Description**

Press Assistant, U.S. Department of the Treasury

**SKILLS SUMMARY**

- Research: CisionPoint, reporters and new business prospecting
- Writing & Editing: news releases, talking points, Q&A's, statements, media outreach, e-mails, e-newsletter content and website copy
- Communications: strategic communications and media relations
- Marketing: integrated marketing
- Digital: social media management, website development and digital engagement
- Computer skills: proficient in all Microsoft Office applications, Adobe Photoshop, CisionPoint, Game Ops Commander, Umbraco, Click Effects, WhatCounts and SilverPop

**WORK EXPERIENCE**

**Buffalo.Agency**

12700 Sunrise Valley Drive, Suite 300

Reston, VA 20191

Supervisor: Glenn Gray (b) (6)

*Dates:* 2/16 – Present

**Salary:** (b) (6)

**Hours Per Week:** 40

- Served as Senior Associate, managing client relationships and leading communications programs as day-to-day contact.
- Developed and implemented national strategic communications plans for PGA National Resort & Spa, Sports Turf Managers Association (STMA), United Soccer League (USL), US Club Soccer, WE ARE GOLF and World Golf Foundation through media outreach, integrated marketing and social media; obtained more than 250 publicity hits, including coverage in: Associated Press, CNBC, CNN, ESPN, *Forbes*, Huffington Post, *Los Angeles Times*, *Men's Journal*, NBC Sports, *The Daily Mail*, *The Wall Street Journal*, *The Washington Post* and *USA Today*.
- Led communications strategy culminating in the USL attaining Division II status by the U.S. Soccer Federation.

- Drafted and distributed news releases, talking points, ghostwritten articles and Q&A's to convey appropriate messaging to targeted audiences while serving as the primary media contact.
- Managed STMA and WE ARE GOLF's social media channels; served as web content editor for [www.WeAreGolf.org](http://www.WeAreGolf.org), leading to a nearly 50 percent increase in web traffic year-over-year.
- Coordinated communications approach for 2017 "National Golf Day" on Capitol Hill, which resulted in 72 million social media impressions, reaching 24 million unique Facebook and Twitter accounts.
- Handpicked out of all employees to lead company-wide media relations seminar.

#### **Buffalo.Agency**

12700 Sunrise Valley Drive, Suite 300

Reston, VA 20191

Supervisor: Glenn Gray (b) (6)

*Dates:* 11/14 – 2/16

**Salary:** (b) (6)

**Hours Per Week:** 40

- Served as Associate, securing national publicity for various clients via phone, e-mail and social media pitching.
- Devised and posted weekly social media themes for STMA to drive engagement, including: #StadiumOfTheWeek, #GameOfTheWeek, #MemberOfTheWeek and #TurfTips, among others.
- Grew followers organically on STMA's Twitter handle from 300 to more than 5,000.
- Coordinated on-site interviews at 2015 National Golf Day.

#### **Washington Nationals**

1500 South Capitol Street SE

Washington, DC 20003

Supervisor: Brandon Lapetina (b) (6)

*Dates:* 11/13 – 10/14

**Salary:** (b) (6)

**Hours Per Week:** 34

- Served as Inside Sales Representative, named top producer in sales class; (b) (4)
- Sold season plans, groups, suites and premium seats to new businesses and individual clients building relationships via cold calling, prospecting, face-to-face meetings and ballpark tours.

#### **Washington Nationals**

1500 South Capitol Street SE

Washington, DC 20003

Supervisor: Kyle Brostowitz (b) (6)

*Dates:* 3/13 – 10/13

**Salary:** (b) (6)

**Hours Per Week:** 50

- Served as Baseball Media Relations Trainee, coordinated media credentialing process and seating charts; distributed media credentials and organized parking list.
- Created lineup sheet and distributed to all media and internal departments; compiled daily game notes.
- Produced daily minor league report and distributed to media; sent to away PR personnel.
- Assembled get-away information and distributed to broadcasters and coaches.

#### **Duke University Athletic Association**

115 Whitford Drive

Durham, NC 27708

Supervisor: Mike Sobb (b) (6)

*Dates:* 7/12 – 3/13

**Salary:** (b) (6)

**Hours Per Week:** 60

- Served as Sports Marketing & Promotions Assistant as primary marketing contact for volleyball and women's lacrosse; garnered second-highest home attendance in volleyball history (19,255, 2<sup>nd</sup> in ACC).

**Clemson University Athletic Department**

100 Perimeter Road

Clemson, SC 29634

Supervisor: Mike Money (b) (6)

*Dates:* 8/11 – 5/12

**Salary:** (b) (6)

**Hours Per Week:** 10

- Served as Sports Marketing Intern, created women's basketball marketing plans for Student Appreciation, Youth League and Girl Scout Nights.

**Washington Nationals**

1500 South Capitol Street SE

Washington, DC 20003

Supervisor: Bill Gluvna

*Dates:* 5/11 – 8/11

**Salary:** (b) (6)

**Hours Per Week:** 25

- Served as Baseball Media Relations Intern, coordinated media credentialing process and seating charts.
- Produced daily minor league report and distributed to media; sent to away PR personnel.
- Assembled get-away information and distributed to broadcasters and coaches.

**Qorvis Communications**

1201 Connecticut Avenue NW

Washington, DC 20036

Supervisor: Jack Deschauer (b) (6)

*Dates:* 5/10 – 8/10

**Salary:** (b) (6)

**Hours Per Week:** 40

- Served as Public Relations Intern, managed Washington Kastles media opportunities, assisted with Kastles' press conferences, promoted 2010 season, supervised media facilities at matches.

**EDUCATION**

- Bachelor of Arts in Communication Studies, Clemson Univ., Clemson, SC 2012
- Study abroad program, Bond University, Queensland, Australia 2011

**Peter M. Phelan**

(b) (6)

Country of Citizenship: US (b) (6)

Veteran's Preference: N/A

Federal Civilian Status: N/A

## WORK EXPERIENCE

CIT Group Inc.

July 2006 - present

New York, NY

Salary: (b) (6)

### *Managing Director*

- Currently managing four-person team responsible for delivering interest rate and foreign exchange risk management products across all business lines of company, specializing in project finance, entertainment, real estate and transportation execution
- Manage book of over (b) (4) in notional contracts outstanding, generating (b) (4) per year in gross revenue for bank
- Recently closed FX project to operationalize platform for more efficient delivery of electronic execution services to CIT's client base, including IT budgeting, regulatory adherence, and external marketing
- Developed credit and risk models to use on interest rates and foreign exchange, presented and approved by holding company management and bank board of directors
- Developed policies and procedures for Capital Markets business for approval of Board
- Responsible for management of dealer relationships across more than twenty banks, transacting cash, derivatives, and foreign exchange
- Responsible for management of Futures Commission Merchant (FCM) relationships across CIT Bank, N.A.
- Member of Comprehensive Capital Analysis and Review (CCAR) advisory team, assisting central group on development of adverse and severely adverse scenarios across interest rate and foreign exchange markets – assist in work on Other Estimation Approach (OEA) for specific parts of analysis
- Deep relationships with private equity sponsors, including market communication (weekly market commentary) and risk management consultations
- Handled interest rate trading for separately capitalized REIT, subsequently spun off



- During bankruptcy and post-bankruptcy restructuring, assisted bank management with work on risk management and funding models
- Member of internal Dodd-Frank and Volcker working groups with specific responsibilities for derivatives business
- Have traveled to Washington and met with CFTC commissioners and Congressional staff members on impact of Dodd-Frank and Volcker rule regulations on middle market and small business risk management practices as well as regional banks
- Transitioned customer derivatives business to CIT Bank, N.A. from parent company for relaunch, including all necessary regulatory and compliance documentation
- Worked with bank team to add multi-currency funding capabilities for CIT Bank, N.A., including ability to fund loans (term and revolver) in multiple foreign currencies

Commerzbank AG

June 1993 – July 2006

New York, NY

Salary: (b) (6)

*Vice President*

- Deputy desk manager for asset-liability management and balance sheet execution – oversaw desk trading strategy and adherence to limit structure for \$(b) (4) balance sheet
- Handled interest rate derivative pricing for group and related swap and FRA trading
- Managed bank's capital investment and liquidity books (including US and Euro sovereign notes, agency and corporate paper). Traded bank's \$(b) (4) corporate bond portfolio
- Traded bank's USD and EUR repo books
- Issued bank liabilities, including CDs, commercial paper, and MTNs
- Active trader of European markets on an investment and proprietary basis
- Managed bank's balance sheet foreign exchange positions, including translational and transactional risk for North American operations
- Traded bank's "convergence" book prior to single currency, including active market positioning in the UK, Sweden, Denmark and other peripheral countries
- Desk P&L over \$(b) (4), proprietary account P&L \$(b) (4)

Citibank AG

September 1991 – December 1991

Berlin, Federal Republic of Germany

Salary: N/A

*Intern*

- Developed marketing plans for East German companies in the process of privatization

- Read research reports and local German newspapers to develop timelines for presentation of new bank products
- Introduced final proposals for implementation to Frankfurt head office
- Learned conversational and business German

Board of Governors of the Federal Reserve System

March 1991 – June 1991

Washington, DC

Salary: N/A

*Intern*

- Performed research in the Financial Structure Section of the Research and Statistics Department
- Primary focus on three studies: national mortgage trends, de novo banks, and bank mergers
- Executed more advanced research on bank merger studies utilizing Herfindahl-Hirschman indexes

## EDUCATION

Dartmouth College

September 1989 – June 1993

Hanover, NH

B.A in German Language and Literature. Additional coursework: Money & Banking, Macro- and Micro-Economics, Monopolies & Anti-Trust Legislation.

Freie Universität

January 1992 – March 1992

Berlin, Federal Republic of Germany

Dartmouth Foreign Study Program. Took German culture, history, and literature courses and lived with local family.

Lawrenceville School

September 1984 – June 1989

Lawrenceville, NJ

Started in 8<sup>th</sup> grade and graduated with academic honors. Won Free Enterprise Award for Economics.

## LICENSES

FINRA Series 7 and 63

## MITCHELL A. SILK

(b) (6)

### EXECUTIVE MANAGEMENT

#### ENERGY/INFRA ♦ FINANCE/ASSET MANAGEMENT/DIRECT INVESTMENT ♦ CHINA

Senior partner in global elite law firm with deep expertise in the real assets (energy, infrastructure, mining, industrial and real estate), asset management, and banking and finance sectors, as well as China. Decisive leader with ability to identify and exploit market opportunities; effective skills in structuring, documenting, negotiating and project managing large cross-border transactions; ability to successfully navigate complex international regulatory and contentious matters. Track record of success on large, capital intensive and nuanced matters in or involving Greater China and Asia.

#### EXPERIENCE

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**ALLEN & OVERY LLP**, Partner

New York ♦ 2005-present

Senior partner who jointly runs the Americas operations of Allen & Overy's global-leading project finance practice comprised of over 30 fee earners in New York, Washington, DC and Sao Paulo. Lead strategic business development initiatives and teams that execute on large, capital intensive, cross-border projects in the energy, infrastructure, mining and industrial sectors. Responsible for group budgeting, finance, and personnel matters.

Founded and runs U.S. China Group, a market leader dedicated to the growth of A&O's China business in the U.S. through local execution and seamless cooperation and interaction with Greater China and other global offices. Successful pursuit of mandates assisting (i) Chinese companies and their financiers on expansion in the Americas, (ii) asset managers in establishing private investment fund platforms pursuing strategies in the U.S. and China and (iii) Chinese bank in the U.S. Comprised of a critical mass 11 bilingual core team members and 15 other specialist attorneys.

Advised on numerous landmark projects, including Sinopec International Petroleum Corporation's US\$850 Million acquisition of Omimex de Colombia Inc. (China's largest investment in Colombia), Industrial and Commercial Bank's acquisition of BNPP Fortis's prime brokerage (first PRC acquisition of a US broker-dealer approved by FINRA) and AES Solar on the development and construction of the 200MW Mt. Signal PV Project (largest U.S. solar project using trackers for the complete facility). Regularly advise on major gas, coal, solar, wind and nuclear power, water, mining and transportation projects and real estate

acquisitions and financings in the U.S., Asia, Latin America, Caribbean and Africa, as well as on the acquisition of companies developing and owning disruptive technology with applications in these real assets sectors.

Lead development of private investment funds practice in the U.S. Act as fund counsel to numerous sponsors on the structuring, formation, marketing and financing of a number of international real assets funds in the property, infrastructure and energy, mining and real property sectors. Also regularly advise large pension and other funds on their fund investments and co-investments.

Market leader in advising Chinese banks in their strategic expansion in the U.S. and their on-going operations, including advising on (i) corporate, real estate and acquisition financing in the US (including take private transactions) that involve multiple jurisdictions, (ii) complex regulatory, financing and corporate issues, as well as (iii) AML and other regulatory compliance requirements.

Training and Development Partner (2005-2010) responsible for all lawyer training and professional development programs in the Americas.

Member of Personnel Committee (2012-present) that oversees all manpower matters, compensation and benefits, and non-partner reviews and assessments.

**ALLEN & OVERY LLP**, Partner  
**ALLEN & OVERY LLP**, Senior Consultant

Hong Kong ♦ 1998-2005  
Hong Kong ♦ 1996-1998

Integral member of Allen & Overy's leading regional project finance practice focusing on projects in Greater China comprised of over 40 fee earners in Hong Kong, Beijing, Shanghai, Tokyo, Singapore and Bangkok. Lead strategic business development initiatives and teams that executed on large, capital intensive, cross-border projects in the energy, infrastructure, mining and industrial sectors. Responsible for group budgeting, finance, and personnel matters.

Advised on numerous landmark and award winning projects in the power, gas, water and transportation sectors, including the \$2.6b 3,000MW Shandong Zhonghua Power Project, the US\$2.7 billion BP/Sinopec Shanghai Ethylene Project, the restructuring of Guangdong Enterprises (Holdings) (including the corporatization and sale of the 1.7 billion cubic meters per annum Dongshen Water Supply Project, supplying over 70% of Hong Kong's raw water), the 400,000 TPD Chengdu BOT Water Project (China's second BOT water project), the 2x450MW LNG-fired Ever Power IPP project in Taiwan (the first IPP to achieve financial closing in Taiwan) and the 600MW coal-fired

Jingyuan Phase II Power Project in Gansu, China (first Sino-US joint venture power project in China to fund equity).

Successfully formulated and executed initiative resulting in sponsors retaining A&O in six of the 11 first and second round Independent Power Projects tendered by the Taiwan government. Regularly recognized as leading project finance and China lawyer by Chambers, Euromoney and Asia-Pacific Legal 500.

Led regional Asia Projects Group (2000-2003) and China Group (1998-2002).

**CHADBOURNE & PARKE**, Associate

Hong Kong ♦ 1993-1996  
New York ♦ 1992-1993

Senior associate focusing on representing sponsors in the development of power projects throughout Greater China. Central member of team tasked to open firm's Hong Kong and Beijing offices and build China practice. Represented numerous foreign developers in the successful development of numerous coal and gas-fired projects throughout China and Taiwan in sizes ranging from 24-1,200MW. Developed standard forms for joint venture, offtake, EPC, fuel supply and O&M documentation used in small and medium-sized cogeneration facilities and base load power generation facilities.

**GRAHAM & JAMES**, Associate

New York ♦ 1990-1992

Banking associate with a focus on China matters in the New York office. Built active Chinese banking practice that was generating \$(b) (4) in fee income in 1992. Successful representation of four Taiwan banks that were among the first six foreign banks to be approved under the Foreign Bank Supervision and Enhancement Act of 1991. Secured Agricultural Bank of China and Industrial and Commercial Bank of China as clients for the firm and successfully prosecuted their applications to open offices in New York before the Board of Governors of the Federal Reserve System and the New York State Banking Department.

**HUGHES, HUBBARD & REED**, Associate

New York ♦ 1987-1990

Banking associate and core member of the Pacific Basin Group. Engaged in regulatory and finance matters for numerous foreign (Japan, Taiwan, Mexico, Canada and Middle East) banks operating in New York. Assisted numerous Japanese corporates in their entry and expansion in New York.



**SHANGHAI INSTITUTE OF FOREIGN TRADE**, Adjunct Professor of Law

Beijing ♦ Spring 1987

Taught graduate law course in Legal Reasoning and Writing.

**SHENZHEN UNIVERSITY**, Adjunct Professor of Law

New York ♦ Spring 1987

Taught course in Private International Law. Acted as Foreign Advisor to the Shenzhen Municipal Taxation Bureau and Shenzhen Municipal Environmental Protection Bureau.

**COUDERT BROTHERS**, Law Clerk

New York ♦ 1986-1987

Broad-based research, negotiation and drafting experience in trade and investment matters in China, including all aspects of joint ventures, investment projects, technology transfer and licensing throughout China; loan documentation; tax planning and procedure and dispute resolution; the registration and protection of patent, trademark, enterprise name and other forms of intellectual property, and the resolution of priority disputes, dispute resolution and the regulation of foreign banks and insurance enterprises.

Junior associate representing the borrower on China's first large scale limited recourse project financing (\$600m Pingshuo Coal Mine developed by Occidental Petroleum).

**UNIVERSITY OF MARYLAND, SCHOOL OF LAW, EAST ASIAN LEGAL STUDIES PROGRAM**, Assistant Director

Baltimore ♦ 1983-1986

Managed day-to-day operations of one of the nation's premier East Asian legal studies programs.

Researched and wrote scholarly works and participated in conferences internationally on topics relating to Chinese law and China's practice of international law.

Served as Editor of the *Chinese Yearbook of International Law and Affairs* and the *Occasional Papers/Reprints Series on Contemporary Asian Studies*.

**MELNICOVE, KAUFMAN, WEINER, SMOUSE & GARBIS**, Law Clerk

Baltimore ♦ 1985-1986

Researched and wrote legal memoranda and pleadings relating to all phases of federal tax litigation at the administrative and judicial levels involving criminal tax aspects of high profile white collar criminal

investigations and proceedings, and large civil tax shelter disputes, as well as individual, corporate and partnership tax planning.

**CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES,** Washington, DC ♦ 1982-1983  
Research Assistant

Researched and wrote memoranda on China's foreign policy and political and economic reform for CSIS's then resident China scholar Dr. Gerrit W. Gong.

**GEORGETOWN UNIVERSITY, DEPARTMENT OF CHINESE,** Washington, DC ♦ 1981-1983  
Teaching Assistant and Instructor of Chinese

Instructor in 1st year level and teaching assistant in 3rd year level of Georgetown's Chinese language program.

## EDUCATION

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**UNIVERSITY OF MARYLAND SCHOOL OF LAW** Baltimore ♦ 1983-1986  
Juris Doctor

Concentration in International Law, Chinese Law and China's Practice of International Law

*Maryland Journal of International Law and Trade*, Executive Editor (1985-1986), Associate Editor (1984-1985)

International Law Moot Court Team, Award for the Best Brief in the Mid-Atlantic Region of the Phillip C. Jessup International Moot Court Competition

Joseph Bernstein Award for the most significant piece published in the *Maryland Journal of International Law and Trade* (1986)

William P. Cunningham Award for exceptional achievement and service to the Law School

President, International Law Society (1984-1985)

**GEORGETOWN UNIVERSITY SCHOOL OF FOREIGN SERVICE** Washington, DC ♦ 1981-1983  
Bachelors of Science in Foreign Service *cum laude*

Concentration on Comparative and Regional Studies, with an emphasis on international relations theory, China's conduct of international relations, China's economic development, domestic Chinese politics,

Chinese history and Asian military strategy

Certificate in Asian Studies

Awarded Georgetown China Studies Fellowship for study at the National Chengchi University in Taiwan (declined)

## **BEIJING UNIVERSITY**

Beijing ♦ 1986-1987

Certificate of Advanced Studies in Law

Research and studies in Chinese law (foreign direct investment and tax procedure) under a post-doctoral fellowship provided by the Committee for Scholarly Communication with the People's Republic of China under the U.S. National Academy of Sciences (9 scholars chosen from nearly 1,000 applicants; I was the sole legal scholar)

## **NATIONAL TAIWAN NORMAL UNIVERSITY**

Taipei ♦ 1979-1980

Intensive Mandarin Chinese language, history, culture and philosophy studies at the Mandarin Training Center (all in Chinese)

Awards for Outstanding Leadership, 1980 and 1981

## **MIDDLEBURY COLLEGE**

Middlebury ♦ Summer 1979

Intensive Mandarin Chinese language studies at the Summer School of Chinese

Dean's List

## **LANGUAGES**

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Fluent in Mandarin and Cantonese Chinese (able to transact business)

Intermediate Yiddish

Basic Hebrew

## **COMMUNAL AND VOLUNTEER WORK**

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### **AGUDATH ISRAEL OF AMERICA LEGAL PRO BONO SERVICES, LLC**

New York ♦ 2005-present

Chairman of nationwide network of over 400 pro bono lawyers engaged in a variety of matters within the AIA's purview, including children's matters presenting issues of religious expression, end of life issues, not-

for-profit formation and compliance matters and workplace discrimination issues.

Prepared and filed numerous *amicus curiae* briefs to the New York State and Florida State courts on children's and end of life issues

Lobbying efforts (including with the New York State Attorney General) on issues of religious matching

Successfully completed one of New York State's largest corporate restructurings of a group of related religious and not-for-profit corporations, and formulated comprehensive corporate compliance program

Organized numerous high profile legal training and awareness programs in New York and throughout the country on children's matters, end of life issues and not-for-profit formation and compliance matters

#### **CHEVRA KADISHA OF HONG KONG**

Hong Kong ♦ 1993-2005

Chairman, Jewish burial society of Hong Kong

Attended to all aspects of burial and transport of members of the Jewish faith deceased in Hong Kong

Designed and oversaw complete state-of-the-art renovation of burial preparation facilities

Liaised with Births and Deaths Registry, various other Hong Kong Government agencies and appeared before the Hong Kong Coroners Court on reportable death/death certification matters

Organized training programs for experts from the U.K and U.S.

Served as advisor to Jewish burial societies in mainland China, Japan, Singapore and New Zealand

#### **INTERNATIONAL ASSOCIATION OF JEWISH LAWYERS AND JURISTS, AMERICAN CHAPTER**

New York ♦ 1990-1992

President, 1990-1992

Drafted and prosecuted IAJLJ's successful application to the United Nations General Assembly for International Non-Governmental Organization status

## CHINESE COMMUNITY CHURCH

Washington, DC ♦ 1981-1986

Founded and led communal volunteer program for new immigrant inner city youth who were members of the Chinese community

Organized Chinese lion dancing troop comprised of members of the program that performed up and down the East Coast, including at the John F. Kennedy Center for the Performing Arts

## PROFESSIONAL HONORS, QUALIFICATIONS AND AFFILIATIONS

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Recipient (with James V. Feinerman) of \$100,000 Research and Writing Grant from the MacArthur Foundation, Program on Peace and International Cooperation

New York State (1st Department) Bar

District of Columbia Bar

Commonwealth of Pennsylvania (inactive) Bar

American Bar Association

Association of the Bar of the City of New York

U.S.-China Business Council

## PUBLICATIONS AND PRESENTATIONS

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Published widely and frequent speaker on energy and infrastructure development, project finance, asset management, banking law and many aspect of Chinese law and practice. See attached list.

Final stages of editing (publication expected 2017) of two classic texts on Chassidic interpretation of the Old Testament: *Kedushas Levi: Mystical Insights into Chumash and Holidays* by Grand Rabbi Levi Yitzchok of Berditchev and *Ma'amer Mordechai and Sisrei Torah* by Grand Rabbi Mordechai Leifer of Nadvorna-Bishtene and Grand Rabbi Yissocher Ber Leifer of Nadvorna.

*On Heaven and Earth: The Rebbe R' Mordechai'le – Lore of the Nadvorna Chassidic Dynasty* (forthcoming).



**Mary Sobczak**

(b) (6)

Federal Employment Status: Scheduler, US House of Representatives

Citizenship: United States

Availability: Full Time

Desired Locations: United States: Washington, DC

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**WORK EXPERIENCE**

**Scheduler/Executive Assistant**

February 2017-Present

*Congressman Peter J. Roskam, Washington, DC 20515*

Salary: (b) (6)

Create and develop the Congressman's official, personal, and campaign schedule. Oversee the day-to-day operations of the Congressman's calendar, and generate long-term goals for the schedule of the Congressman. Supervise last minute changes on a daily basis in regards to meetings, committee hearings and markups, and vote times. Serve as the point of contact between DC office, district office, and campaign office. Manage the flow of all meeting requests, and respond to all requests in a timely manner.

Coordinate all travel for the Congressman and staff members. Regulate all internal offices finances, including administering reimbursements and vouchers. Assist the Chief of Staff in creating a yearly and monthly office budget for both official and campaign offices. Manage employee student loan program for staff members.

Schedule all media requests, and book studio time. Prepare daily briefing materials for the Congressman's meetings. Circulate correspondence to staff members on behalf of the Congressman. Advise the Congressman along with the Chief of Staff on the best way to utilize the Congressman's time to present the image we are trying to create.

**Campaign Staff**

August-November 2017

*Mike Gallagher for Congress, Green Bay, WI 54115*

Salary: (b) (6)

Assisted in creation and implementation of daily campaign events and meetings. Organized multiple aspects of fundraising events, and saw them through to completion. Mapped out travel route for the candidate on the campaign trail. Met with local offices to gain endorsements on behalf of the candidate.

Utilized QuickBooks software to help manage and track campaign finances. Collected receipts and filed expenses in order to stay on budget per week. Monitored the polls on a weekly basis and created memos to distribute to the staff on updates in the polls. Interpreted polls with SPSS software to foresee various outcomes and voting predictions.

Conducted multiple canvassing events and recruited volunteers to assist in door-to-door events and phone banking. Wrote scripts and talking points on various issues for the

candidate's stance, and distributed them to volunteers for canvassing events. Drafted one-pagers for campaign literature.

## **EDUCATION**

**St. Norbert College**, De Pere, Wisconsin  
Bachelor of Arts, Political Science

December 2016

## **JOB RELATED TRAINING**

**Ethics Certification**  
*US House of Representatives*, Washington, DC

March 2017

**Emergency Safety Training**  
*US House of Representatives*, Washington, DC

March 2017

## **REFERENCES**

James Neilson  
St. Norbert College  
Assistant Professor of Art and SNC Parish Administrator

(b) (6)

Viki Bielik\*  
Village of Northbrook

(b) (6)

# HEATH P. TARBERT

(b) (6)

## EXPERIENCE

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**Allen & Overy LLP**, Washington, D.C., New York, London

*Partner*, January 2014–Present

- Chair the U.S. Bank Regulatory Group; counsel banks, securities firms, clearinghouses, and FinTech companies on compliance with financial laws; advise on cybersecurity, anti-money laundering, and counter-terrorist financing compliance and investigations.

**Weil Gotshal & Manges LLP**, Washington, D.C., New York

*Partner*, January 2012–December 2013    *Senior Counsel*, April 2010–December 2011

- Counseled financial institutions, private equity firms, and sovereign wealth funds on aspects of the Dodd-Frank Act and other federal banking and securities laws; established and co-chaired the firm's Financial Institutions Regulatory practice.

**U.S. Senate Committee on Banking, Housing and Urban Affairs**

*Special Counsel*, August 2009–March 2010

- Served as an expert and negotiator on the various legislative proposals that culminated in the Dodd-Frank Act, with particular emphasis on the regulation of financial institutions and derivatives, as well as measures aimed at the reduction of systemic risk.

**Committee on Capital Markets Regulation**, Cambridge, MA

*Vice President & Deputy Director*, February 2009–August 2009

- Coordinated the work of the Committee—a group of 30 private sector and academic leaders—focusing on U.S. capital markets' competitiveness and financial stability; supervised research staff and issued a comprehensive report on the global financial crisis.

**Executive Office of the President, The White House**

*Associate Counsel to the President*, August 2008–January 2009

- Managed the financial markets portfolio; advised the National Economic Council and Council of Economic Advisers; served as legal liaison to the Treasury Department, Federal Reserve, SEC, and FDIC during the global financial crisis.

**Justice Clarence Thomas, Supreme Court of the United States**

*Law Clerk*, July 2007–July 2008

**Office of Legal Counsel, U.S. Department of Justice**

*Attorney-Adviser*, September 2006–July 2007

- Assisted in the formulation of authoritative legal advice for the President and Executive Branch agencies.

**Chief Judge Douglas H. Ginsburg, U.S. Court of Appeals for the D.C. Circuit**

*Law Clerk*, August 2005–August 2006

**Sullivan & Cromwell LLP**, Washington, D.C.

*Associate*, February 2003–August 2005    *Summer Associate*, 2000 and 2001

- Performed transactional, regulatory, and litigation work in banking and securities law.

## EDUCATION

---

**University of Oxford**, Oxford, UK

Doctor of Philosophy (D.Phil.) in Comparative Law, 2005

Master of Studies (M.St.) in Legal Research, *with Distinction*, 2002

**University of Pennsylvania**, Philadelphia, PA

Doctor of Juridical Science (S.J.D.), 2002

Juris Doctor (J.D.), *magna cum laude*, 2001

**Mount Saint Mary's University**, Emmitsburg, MD

Bachelor of Science (B.S.) in Accounting, *summa cum laude*, 1998

## BAR ADMISSIONS & PROFESSIONAL CREDENTIALS

---

England & Wales (Solicitor) (2010)

District of Columbia (2004)

State of New York (2003)

Certified Anti-Money Laundering Specialist (CAMS) (2015)

Chartered Financial Analyst (CFA) (2013)

Certified Public Accountant (CPA) (2003)

## Katherine S. Tyrrell

(b) (6)

**Federal Employment Status:** Special Counsel to the Chief Judge, GS-14, Step 10

**Veterans Preference Status:** No

**Clearance:** No

**Country of Citizenship:** United States

**Availability:** Full Time

**Desired Locations:** Washington, DC

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### WORK EXPERIENCE

#### Superior Court of the District of Columbia

500 Indiana Avenue, NW

Washington, DC 20001

Supervisors: Chief Judge Lee F. Satterfield (Sept. 2012-Sept. 2016), (202) 315-6193

(b) (6) and Chief Judge Robert E. Morin (Oct. 2016-Present), (202) 879-1600

(b) (6)

Salary: (b) (6)

Grade: GS-14, Step 10

Hours Worked Per Week: 40 Hours

#### *Special Counsel to the Chief Judge*

*November 2012 – Present*

- Serves as a senior advisor to the Chief Judge with duties including:
  - Provides strategic counsel on legal, ethical, and administrative matters of substantial impact, sensitivity, and complexity such as: the use of juvenile restraints in the courtroom, expanding the authority of magistrate judges, and allocating judicial resources.
  - Represents the Chief Judge as his chambers' point of contact and manages his programs and policy initiatives.
  - Conducts research and analysis of specific legal questions and prepares memoranda setting forth results and recommendations.
  - Drafts and finalizes Administrative Orders on operational, legal and procedural issues.
  - Oversees the Chief Judge's internal and external communications by drafting materials including: executive-quality correspondence; speeches at public events; remarks before Congress and the D.C. City Council; and op-eds placed in *The Washington Post*.
  - Develops and manages dozens of internal and external projects, including:
    - Oversaw the restructure of a major judicial program, which included reorganizing the roles of judicial staff and coordinating with multiple court divisions to design and build appropriate physical space to support judicial officers.

- Collaborated with the court's education division to develop a judicial coaching program that pairs experienced judicial officers with new judges; continues to manage the program, which has grown to include over 50 percent of the court's judicial officers.
- Represented the court during an external review of the jury system led by a nonprofit organization.
- Serves as liaison to partner agencies including, but not limited to, the U.S. Marshals Service, U.S. Attorney's Office, Metropolitan Police Department, and D.C. City Council, on a range of issues such as: day-to-day operations, emergency closure procedures, and joint partner initiatives and programs.
- Provides advice and counsel to other judicial officers on a broad range of issues including judicial committee work, judicial training, and relations with external court partners and organizations.
- Represents the Chief Judge on judicial committees and serves as the co-chair of the arraignment court committee.
- Managed the transition between Chief Judge administrations ensuring continuity of operations.

**The Catholic University of America, Columbus School of Law**

3600 John McCormack Drive, NE

Washington, DC 20017

Supervisor: Stuart Schept, Assistant Dean for Academic Services, (b) (6)

Hours Worked Per Week: 10 Hours

*Lecturer/Adjunct Faculty*

*September 2015 – December 2016*

- Taught Becoming a Lawyer course to 15 students during fall semesters.

**Superior Court of the District of Columbia**

500 Indiana Avenue, NW

Washington, DC 20001

Supervisor: Chief Judge Lee F. Satterfield, (b) (6)

Hours Worked Per Week: 40 Hours

*Law Clerk to the Chief Judge*

*September 2012 – October 2012*

- Prepared the Chief Judge for hearings in criminal mental competency, grand jury and civil cases.
- Handled various criminal and civil procedural issues at different stages of proceedings.
- Secured counsel for indigent witnesses appearing before the grand jury.

**Sixth Judicial Circuit of Maryland**

50 Maryland Avenue

Rockville, MD 20850

Supervisor: The Honorable David A. Boynton, (b) (6)

Hours Worked Per Week: 40 Hours



*Law Clerk*

*August 2011 – August 2012*

- Prepared the judge for hearings and trials in criminal, juvenile, family, and civil cases.
- Handled various criminal and civil procedural issues at different stages of proceedings.
- Wrote bench memoranda for complex civil, criminal and family matters to include Maryland and Federal law research, analysis of the pleadings and law, and ruling recommendations.
- Drafted orders and opinion memoranda for administrative appeals, post-convictions, juvenile, and family cases.

**Powell Tate Public Affairs**

733 10th Street NW

Washington, DC 20001

Supervisor: Paul Massey, President, Powell Tate, (b) (6)

Hours Worked Per Week: 40 Hours

*Senior Account Executive*

*June 2006 – May 2007; August 2007 – April 2009*

- Directed crisis communications programs for nonprofit and corporate organizations by implementing media response plans and drafting talking points, press releases, and holding statements.
- Developed and managed nine-month media outreach program for presidential monument.
- On-the-record spokesperson for international relief organization during emergency response efforts.
- Represented firm at new business pitch meetings with senior corporate executives.
- Recognized as “Employee of the Month” in March 2008.

**John McCain 2008, Inc.**

Arlington, VA

Supervisor: Brian Jones

Hours Worked Per Week: 40 Hours

*Press Assistant, Rapid Response and Regional Outreach*

*May 2007 – July 2007*

- Supported director of communications and press secretaries by drafting talking points used by the Senator, researching media markets, and securing interviews on national and local broadcast stations.

**EDUCATION**

**The Catholic University of America, Columbus School of Law, Washington, D.C**

*Juris Doctor*

*May 2011*

- Executive Editor, *Journal of Contemporary Health Law and Policy*

- Authored *Do the Ends Justify the Means? Compelling the Use of HPV Vaccination in Men*, 27 J. Contemp. Health L. & Pol'y 183 (2010)
- Teaching Assistant, First Year Legal Writing Class

**The University of Maryland**, College Park, MD

May 2006

*Bachelor of Arts*, Communications

Concentration in English Rhetoric

- Dean's List: 2004, 2005, 2006
- NCAA Division I Swimmer: Recruited and swam as a part of the nationally-ranked team.

## AFFILIATIONS

- State Bar of Maryland Admitted December 2011
- District of Columbia Bar Admitted March 2013
- Junior League of Washington, Board of Directors June 2016 – Present

## REFERENCES

### **Marshal Michael Hughes\***

U.S Department of Justice, United States Marshal Service

United States Marshal, Superior Court of the District of Columbia

(b) (6)

### **The Honorable Rainey Brandt\***

Superior Court of the District of Columbia

Magistrate Judge

(b) (6)

### **Sarah Berg**

The Pew Charitable Trusts

Officer, Philanthropic Networks, Philanthropic Partnerships

(b) (6)

\*Professional Reference

**THOMAS E. WORKMAN**

(b) (6)

**EMPLOYMENT**

1999 to 2016:

President & Chief Executive Officer  
Life Insurance Council of New York, Inc.  
551 Fifth Avenue, 29<sup>th</sup> Floor  
New York, New York 10176

LICONY is the trade organization representing 53 life insurance companies domiciled in New York State, 21 domiciled outside New York State, and 22 professional firms (accounting, actuarial, consulting, and legal) that service the life insurance industry (See attached list). LICONY is “the principal voice” representing the legislative, regulatory, and public interests of the life insurance industry in New York State. The companies so represented do over 90% of the business done by life insurers in New York State. LICONY also has an office in Albany.

1977 to 1999:

Partner  
Bricker & Eckler LLP  
100 South Third Street  
Columbus, Ohio 43215

Developed and was Chair of the Insurance Law Practice Group at Bricker & Eckler LLP, a Columbus-based law firm of approximately 130 lawyers at that time. The practice group was made up of seven lawyers with substantial insurance regulatory, transactional, and legislative law experience from the perspectives of in-house counsel, outside counsel, regulatory counsel, and state and national trade association counsel.

1973 to 1977:

Associate  
Bricker & Eckler LLP  
100 South Third Street  
Columbus, Ohio 43215

Returned from active duty in the United States Army. Had clerked at Bricker between graduation from law school in June 1969 and reporting for active duty in January 1970.

1970 to 1973:

Captain  
Judge Advocate General’s Corps  
United States Army  
Served nearly four years on active duty at The U. S. Army Judge Advocate General’s School, Charlottesville, Virginia.

## INSURANCE PROFESSIONAL INVOLVEMENT

- Member, Board of Directors, Ohio Farmers Insurance Company (The Westfield Group), a leading, Ohio-domiciled, family of property/casualty insurance companies (1993 to present) which also owns Westfield Bank, FSB.
- Chair, Governance & Nominating Committee, Board of Directors, Ohio Farmers.
- Member, Compensation Committee, Board of Directors, Ohio Farmers.
- Member, Board of Directors, Insurance Federation of New York (Elected June 15, 2016).
- Member, Leadership Council, Griffith Insurance Education Foundation (1987 to present).
- Chair, Public Policymaker Task Force, Griffith Insurance Education Foundation.
- Past Member, Board of Directors, Association of Life Insurance Counsel (ALIC).
- Past ALIC Delegate to the American Bar Association House of Delegates.
- Past ALIC Chair of Buist M. Anderson Award Committee (2011 to 2014).
- Past Chair, Board of Directors, Federation of Regulatory Counsel.
- Past Chair, American Bar Association Life Insurance Law Committee.
- Member, American Bar Association Tort Trial and Insurance Practice Section.
- Member, Ohio State Bar Association Insurance Law Committee.
- Member, Insurance Law Committee, Association of the Bar of the City of New York.

## PROFESSIONAL LICENSES AND OTHER LEGAL INVOLVEMENT

- Admitted to practice law before the Court of Appeals, State of New York—The three references supporting my application for admission included Chief Justice of the Supreme Court of Ohio Thomas J. Moyer, Bricker & Eckler LLP Managing Partner Richard C. Simpson, and former Government Law Department Chairman at Jones, Day, Reavis & Pogue Harry J. Lehman.
- Admitted to practice law before the Supreme Court of Ohio.
- Admitted to practice law before the United States District Court, Southern District of Ohio.
- Admitted to practice law before the United States Court of Military Appeals.
- Admitted to practice law before the Supreme Court of the United States.
- Member, American Bar Association.
- Member, New York State Bar Association.
- Member, Association of the Bar of the City of New York.
- Member, Ohio State Bar Association.
- Member, Columbus Bar Association.
- Member, Federalist Society.
- Past Chair, Columbus Bar Association Professional Ethics & Grievances Committee.
- Past Member, Columbus Bar Association Professionalism Committee.

## INSURANCE AND CIVIC AWARDS

- City & State 2015 Corporate Social Responsibility Award for Distinguished Service in Promoting Community Investment & Corporate Volunteerism across New York State, presented at Hunter College, June 11, 2015.
- Recipient of the “Buist M. Anderson Distinguished Service Award” of the Association of Life Insurance Counsel at its Annual Meeting on May 24, 2010. This award is bestowed only in a year when the Board of Governors believes there is a member of longstanding who has provided outstanding service to the Association and to the life insurance bar, the life insurance industry, and colleagues in the life insurance bar.

- Recipient of the “Life Insurance Lifetime Achievement Award” of the Million Dollar Round Table of New York City at its 91<sup>st</sup> Annual Meeting on November 30, 2009. This award is bestowed upon a person that has made significant contributions to the insurance and financial services industry—recognizing accomplishments in the areas of professional ethics, education, and industry leadership.
- “Friend of Israel Award,” State of Israel Bonds’ Insurance Division, May 2006
- “Citizen of the Year,” College of Mount Saint Vincent Annual Dinner, May 2002.
- “The Good Scout Award,” Boy Scouts of America, Greater New York Council, 2001.

#### **PUBLIC AFFAIRS, COMMUNITY AND FRATERNAL INVOLVEMENT**

- Past (Outside) General Counsel, Ohio Republican Party.
- Past Member, Board of Trustees, Friends of the Ashbrook Center, Ashland, Ohio.
- Past General Counsel, The John M. Ashbrook Center for Public Affairs, Ashland University, Ashland, Ohio.
- Past Treasurer, Ohio Public Expenditure Council.
- Past President, Greater Columbus Year 2000 Information Council.
- Past Vice President, Ohio Hunger Task Force.
- Past Member, Advisory Board, The Salvation Army of Central Ohio.
- Past United Way Pacesetter, and Alexis de Tocqueville United Way Member.
- Past Alumni Member, Distinguished Teachers Awards Committee, The Ohio State University.
- Past Member, Board of Trustees, Friends of WOSU.
- Member, American Legion, New York Department.
- 33<sup>rd</sup> Degree Mason, Ancient Accepted Scottish Rite, Valley of Columbus.
- Past Chair, Executive Committee, Ancient Accepted Scottish Rite, Valley of Columbus.
- Past Thrice Potent Master, Enoch Lodge of Perfection, Ancient Accepted Scottish Rite, Valley of Columbus.
- Master Mason, Humboldt Lodge, Free & Accepted Masons, No. 476.
- Member, Aladdin Temple Shrine.
- Member, Delta Tau Delta Fraternity Alumni Association.

#### **SOCIAL CLUB MEMBERSHIPS**

- The Metropolitan Club, New York, New York.
- The Fort Orange Club, Albany, New York.
- The Rocky Fork Hunt & Country Club, Columbus, Ohio.
- The Ritz-Carlton Members Club, Sarasota, Florida

#### **EDUCATION**

- The Ohio State University, College of Law, J.D., 1969.
- The Ohio State University, B.S. Business Administration (Finance), 1966.
- President, Student Senate, The Ohio State University, 1965-1966.
- President, OSU Law Young Republican Club, 1967-1968.
- One of the Top Five Outstanding Senior Men at OSU. 1966.
- Sphinx (Senior Men’s Honorary), 1965-1966.
- Bucket & Dipper (Junior Men’s Honorary), 1964-1965.



- Romophos (Sophomore Men's Honorary), 1963-1964.
- Pacesetters (OSU College of Business Administration Honorary), 1965-1966.
- Member, Beta Phi Chapter, Delta Tau Delta Fraternity.

#### **ANNUAL LICONY LEGISLATIVE & REGULATORY CONFERENCE**

- Personally created, established, planned, and executed 15 of these life insurance industry conferences at The Otesaga Resort Hotel in Cooperstown.
- The First Conference was held two weeks following 9/11.
- It is a unique, nationally-recognized, destination conference with New York State, national, and federal substantive content.
- Apart from governmental presentations, substantive CLE credit programs have included an investment banker's analysis of the 2008 meltdown, state and federal life insurance taxation developments, New York State regulatory musings by a former Superintendent of Insurance, principles-based reserving, unclaimed life insurance benefits, federal regulation of insurance, captive reinsurance, New York State Ethics Law Developments, life settlements, and many, many more.
- Approximately 160 to 190 people—CEOs, COOs, CFOs, GCs, Chief Actuaries, Government Affairs Executives, New York State legislators and regulators and staff members—attend this Conference each year.
- The New York Superintendent has spoken at all 15 Annual Conferences.
- The Senate Majority Leader and the Assembly Speaker have spoken at nearly all of the 15 Annual Conferences.
- The Senate and Assembly Insurance Committee Chairs have spoken at all of the 15 Conferences.
- The Senate and Assembly Insurance Committee Ranking Members have spoken at nearly all the 15 Conferences.
- The Executive (or First) Deputy Superintendents have spoken at the 15 Conferences.
- The Life Bureau Chiefs have spoken at nearly all of the 15 Conferences.
- Other prominent speakers have included Presidents and Executive Vice Presidents of the American Council of Life Insurers, CEOs of the National Association of Insurance & Financial Advisers, President of the LIMRA, Presidents and Vice Presidents of the National Conference of Insurance Legislators, Presidents and President-Elects of the National Association of Insurance Commissioners, Chairs of the NAIC Life Insurance & Annuities (A) Committee and of the NAIC Examinations (E) Committee, etc.
- National Baseball Hall of Famers who have addressed the conferees include Johnny Bench, Phil Niekro, Tom Seaver, Ozzie Smith, and Dave Winfield.
- Theme Dinners have featured tribute bands and other performers with these themes: The Blues Brothers, The Beatles, Frankie Valli & The Four Seasons, Star Wars, Superheroes, Dancing with The Stars, New Orleans Jazz Club, Casablanca, A Night at the Oscars, An Old-Fashioned American National Convention, Happy Days, and more.
- Charities featured included Habitat for Humanity, Coalition to Salute America's Heroes, The Salvation Army, Worldwide Concern, The Purple Heart Foundation, The Stem Cell Research Foundation, the Insurance Industry Charitable Foundation, and many more.
- All Conference gifts and events are sponsored by LICONY member companies and allied professional firm members.

## PUBLICATIONS AND SELECTED PRESENTATIONS

- “Global Solvency Standards Set by Non-U.S. Regulators: Why Small and Medium-Sized Companies Should Care,” panel participant at 26<sup>th</sup> Annual ABCNY/IFNY Current Issues in Insurance Regulation Seminar at City Bar Offices, April 15, 2016.
- “An Economic Driver Supporting Families, Businesses, and the American Community,” interview, *LEADERS Magazine*, October, November, December 2015, Vol. 38, No. 4.
- “How DFS Operates,” presentation to Columbian Mutual Board of Directors, May 27, 2015.
- “Fifteenth Annual James A. and Linda R. Mitchell/American College Forum on Ethical Leadership in Financial Services in Palm Beach,” Executive Participant, January 17, 2015.
- “National & State Insurance Regulatory Issues,” participant in ACE Legal Department Panel Discussion with Connecticut Deputy Insurance Commissioner George Bradner and former New York Insurance Superintendent Eric R. Dinallo, in Philadelphia, November 12, 2014.
- “New York Senate Public Forum on Insurance Regulation,” presentation on behalf of LICONY, October 8, 2013.
- “Life Insurance Law Developments in New York State,” presentation at ABCNY Annual Insurance Law Seminar at City Bar Offices, April 16, 2010.
- “The Life Insurance Business Has A Noble Purpose,” presented at Round Table of New York 91<sup>st</sup> Annual Dinner,” November 30, 2009.
- “Principles-Based Regulation,” presentation at ACI Insurance Conference in New York City, February 26, 2009.
- “Principles-Based Regulation,” presentation to Annual MetLife Legal Department Conference, June 20, 2008.
- “How Would Principles-Based Regulation Work As A Practical Matter, In New York and Nationally?” paper presented at 2008 Annual Meeting of the Association of Life Insurance Counsel at The Greenbrier, May 20, 2008.
- “Stranger-Owned Life Insurance,” presentation to the MassMutual Law Division Annual Meeting, September 15, 2006.
- “Life Insurance Settlements,” presentation at Second Annual Financial Services Industry Summit, December 5, 2005.
- “Where Did All This Come From and Where Is It Going?” presentation regarding producer compensation disclosure at LIMRA Strategic Marketing Issues Committee Seminar, March 16, 2005.
- “New York & Federal Life Insurance Issues,” Annual Insurance Law Seminar, sponsored by ABA-TIPS and The Association of the Bar of the City of New York, April 23, 2004.
- “The Ramifications of September 11 for Life Insurers,” ABA-TIPS MidWinter Meeting Life Insurance Law Committee Seminar, January 17, 2003.
- “The Insurance Implications of September 11<sup>th</sup>,” presentation to Insurance Seminar of the Association of the Bar of the City of New York, December 4, 2001.
- “Life Industry Issues,” presentation to the Office of General Counsel, New York State Insurance Department, October 25, 2001.
- “Financial Services Modernization & Optional Federal Chartering,” presentation at 10<sup>th</sup> Annual Legal Seminar, National Organization of Life and Health Insurance Guaranty Associations, in New York City, July 13, 2001.
- “What Has Happened in the Financial Services World During the Past 365 Days,” presentation at the Annual Conference of the Life Bureau of the New York State Insurance Department, in New York City, June 25, 2001.

- “Market Conduct Examinations: The Process and Consequences,” participated in a panel presentation at the Annual Legal Seminar of the American Law Firm Association, in New York City, June 7, 2001.
- “Life Insurance Law & Regulation in New York State,” Presentation at the Annual Conference of the Life Bureau of the New York State Insurance Department, in New York City, June 26, 2000.
- “Sale of Insurance by National Banks: The Historical Development of the Law,” paper presented to the lawyers in the Office of General Counsel of the New York State Insurance Department, in New York City, November, 1999.
- “Demutualizations and Mutual Insurance Holding Company Reorganizations,” paper presented at the American Bar Association Annual Meeting, in Atlanta, August 9, 1999.
- “Sale of Insurance by National Banks,” presentation at Annual Conference of the Society of Financial Examiners in Las Vegas, July 26, 1999.
- “Year 2000 Insurance Coverage Issues,” presentation at Bricker & Eckler LLP Seminar for House Counsel on Year 2000 Computer Problem Legal Issues, October, 1998.
- “The Hunter or the Hunted? The Wild Kingdom,” presentation at Bricker & Eckler LLP and KPMG Peat Marwick LLP Joint Insurance Mergers and Acquisitions Seminar, September, 1998.
- “Sale of Insurance by National Banks,” presentation at Nationwide Insurance Enterprise Continuing Legal Education Seminar, July, 1998.
- “Sale of Insurance by National Banks,” presentation at annual national seminar in Chicago, sponsored by the Society of Financial Examiners, July, 1998.
- “Sale of Insurance by National Banks,” article published in the *FORC Journal* and the *Society Of Financial Examiners Journal*, 1998.
- “Ohio Insurance Taxes Revision,” presentation at Association of Life Insurance Counsel Annual Meeting at The Greenbrier, May, 1998.
- “The Insurance Marketplace Standards Association,” presentation at Federation of Regulatory Counsel Briefing, NAIC Meeting, December 1997.
- “House Bill 370 and Draft Administrative Rules,” presentation at Bricker & Eckler LLP and KPMG Peat Marwick LLP Joint Mutual Insurance Holding Company Law Seminar, September 1997.
- “Ohio Insurance Tax Proposals,” presentation at Bricker & Eckler LLP and KPMG Peat Marwick LLP Joint Insurance Regulatory Accreditation Seminar, September 1996.
- “Legislator Briefings on Ohio’s New Governmental Ethics Laws,” presented to Ohio Senate and Ohio House of Representatives Members, January 1995.
- *Ohio Governmental Ethics Compliance Manual for Local Public Officials*, published January, 1995.
- *Ohio Governmental Ethics Compliance Manual for Legislative Agents and Executive Agency Lobbyists and Their Employers*, published September 1994.
- “What You Should Know About Ohio’s New Governmental Ethics Reform Laws,” AGC/Ohio Magazine, published September/October 1994.
- “State Antitrust Laws: The Ripple Effect of California Proposition 103—Should Life/Health Insurers Be Concerned?” presented to the Life Insurance Law, Health Insurance Law, and Public Regulation of Insurance Law Committees of the American Bar Association, August 1990.
- “Plaintiff’s Right to the Claim File, Other Claim Files, and Related Information: The Ticket to the Gold Mine,” 24 Tort & Ins. L. J. 137 (1988).



- 2012 Richard S. Dziadzio, Former Executive Vice President & Chief Financial Officer, AXA Equitable Life Insurance Company.
- 2012 Jack Friou, Executive Vice President, Aflac New York.
- 2011 Thomas E. Rattmann, Chairman, President & Chief Executive Officer, Columbian Mutual Life Insurance Company.
- 2010 Sheila K. Davidson, Executive Vice President, Chief Legal Officer & General Counsel, New York Life Insurance Company.
- 2009 Timothy A. Walsh, President & Chief Executive Officer, Farm Family Life Insurance Company.
- 2008 David J. Sloane, Chairman, President & Chief Executive Officer, Genworth Life Insurance Company of New York.
- 2007 Mitchell F. Politzer, Former President & Chief Executive Officer, Ameritas Life Insurance Corporation of New York.
- 2006 Dennis J. Manning, Former Chairman & Chief Executive Officer, The Guardian Life Insurance Company of America.
- 2005 Raul Rivera, Chairman, President & Chief Executive Officer, National Benefit Life Insurance Company.
- 2004 Patrick A. Mannion, Former Chairman, President & Chief Executive Officer, Unity Mutual Life Insurance Company.
- 2003 Frederick A. Sievert, Former President, New York Life Insurance Company.
- 2002 Bruce W. Boyea, Chairman, President & Chief Executive Officer, Security Mutual Life Insurance Company of New York.
- 2001 Stewart G. Nagler, Former Vice Chairman and Chief Financial Officer, MetLife (deceased).
- 2000 Thomas J. Moran, Chairman, President & Chief Executive Officer, Mutual of America Life Insurance Company.



## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) ALEX, JAMES JOSEPH				2 Social Security Number (b) (6)				3 Date of Birth (b) (6)				4 Effective Date 02-05-2018																			
<b>FIRST ACTION</b>												<b>SECOND ACTION</b>																			
5-A Code 170				5-B Nature of Action EXC APPT								6-A Code				6-B Nature of Action															
5-C Code Y7M				5-D Legal Authority SCH C 213 3301								6-C Code				6-D Legal Authority															
5-E Code				5-F Legal Authority								6-E Code				6-F Legal Authority															
7 FROM: Position Title and Number												15 TO: Position Title and Number SENIOR ADVISOR 66126317 00776																			
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan GS		17 Occ Code 0301		18 Grade or Level 15		19 Step or Rate 01		20 Total Salary \$134,789.00		21 Pay Basis PA									
12A Basic Pay .00				12B Locality Adj .00				12C Adj Basic Pay .00				12D Other Pay .00				20A Basic Pay \$105,123.00				20B Locality Adj \$29,666.00				20C Adj Basic Pay \$134,789.00				20D Other Pay .00			
14 Name and Location of Position's Organization												22 Name and Location of Position's Organization DEPARTMENTAL OFFICES  ASST SECRETARY (TAX POLICY)  TR 919933000000000000 PP 03 2018																			
<b>EMPLOYEE DATA</b>																															
23 Veterans Preference 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%												24 Tenure 0 - None 2 - Conditional 1 - Permanent 3 - Indefinite				25 Agency Use				26 Veterans Preference for RIF YES X NO											
27 FEGLI (b) (6)												28 Annuitant Indicator 9 NOT APPLICABLE								29 Pay Rate Determinant 0											
30 Retirement Plan (b) (6)								31 Service Comp Date (Leave) (b) (6)								32 Work Schedule F FULL TIME								33 Part-Time Hours Per Biweekly Pay Period							
<b>POSITION DATA</b>																															
34 Position Occupied 1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved								35 FLSA Category E - Exempt N - Nonexempt				36 Appropriation Code								37 Bargaining Unit Status 8888											
38 Duty Station Code 11-0010-001								39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC																							
40 Agency Data				41				42				43				44															
45. Remarks APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 02/05/2018. OPF MAINTAINED BY: BUREAU OF THE FISCAL SERVICE, 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6) (b) (6) (b) (6)																															
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES																			
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 02-07-2018																							

Editions Prior to 7/91 Are Not Usable After 6/30/93  
NSN 7540-01-333-6236

2 - OPF Copy - Long-Term Record -- DO NOT DESTROY

**NOTIFICATION OF PERSONNEL ACTION**

1 Name (Last, First, Middle) CAMPBELL, CHRISTOPHER E					2 Social Security Number (b) (6)					3 Date of Birth (b) (6)					4 Effective Date 08-13-2017											
<b>FIRST ACTION</b>										<b>SECOND ACTION</b>																
5-A Code 170		5-B Nature of Action EXC APPT								6-A Code		6-B Nature of Action														
5-C Code ZNM		5-D Legal Authority USC TITLE 31 SCT 301								6-C Code		6-D Legal Authority														
5-E Code		5-F. Legal Authority								6-E Code		6-F. Legal Authority														
7 FROM: Position Title and Number										15 TO: Position Title and Number A/S FOR FINANCIAL INSTITUTIONS POLICY 66093863 00011																
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan EX		17 Occ Code 0301		18 Grade or Level 04		19 Step or Rate 00		20 Total Salary \$155,500.00		21 Pay Basis PA				
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$155,500.00		20B Locality Adj .00		20C Adj Basic Pay \$155,500.00		20D Other Pay .00												
14 Name and Location of Position's Organization										22 Name and Location of Position's Organization DEPARTMENTAL OFFICES UNDER SECY DOMESTIC FINANCE ASST SECRETARY (FNANCL INSTS)  TR 910601000000000000 PP 16 2017																
<b>EMPLOYEE DATA</b>																										
23 Veterans Preference										24 Tenure					25 Agency Use			26 Veterans Preference for RIF								
1 - None		3 - 10 Point/Disability			5 - 10 Point/Other					0 - None		2 - Conditional						YES		X		NO				
(b) (6)		2 - 5 Point			4 - 10 Point/Compensable			6 - 10 Point/Compensable/30%					(b) (6)		1 - Permanent 3 - Indefinite											
27 FEGLI										28 Annuitant Indicator					29 Pay Rate Determinant											
(b) (6)										9 NOT APPLICABLE					T											
30 Retirement Plan					31 Service Comp Date (Leave)					32 Work Schedule					33 Part-Time Hours Per Biweekly Pay Period											
(b) (6)					(b) (6)					F FULL TIME																
<b>POSITION DATA</b>																										
34 Position Occupied										35 FLSA Category					36 Appropriation Code					37 Bargaining Unit Status						
1 - Competitive Service		3 - SES General			2 - Excepted Service					4 - SES Career Reserved			E		E - Exempt N - Nonexempt								8888			
38 Duty Station Code 11-0010-001										39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC																
40 Agency Data					41					42					43					44						
45. Remarks APPOINTMENT AFFIDAVIT EXECUTED 08/14/2017. (b) (6)  APPOINTED BY THE PRESIDENT WITH THE ADVISE AND CONSENT OF THE SENATE. INELIGIBLE FOR LEAVE. FROZEN SERVICE: YRS. MOS. THE PAY RATE OF AN EMPLOYEE OCCUPYING A POSITION SUBJECT TO THE PAY FREEZE FOR CERTAIN SENIOR POLITICAL OFFICIALS SHALL BE BASED ON THE RATE OF PAY AND APPLICABLE PAY LIMITATIONS IN EFFECT ON DECEMBER 31, 2013. OPF MAINTAINED BY: BUREAU OF THE FISCAL SERVICE, 200 THIRD STREET, PARKERSBURG, WV 26106.																										
46 Employing Department or Agency DEPARTMENT OF THE TREASURY										50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES																
47 Agency Code TR 91					48 Personnel Office ID 2731					49 Approval Date 08-15-2017																

Editions Prior to 7/91 Are Not Usable After 6/30/93

NSN 7540-01-333-6236

**2 - OPF Copy - Long-Term Record -- DO NOT DESTROY**

## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) CASTELLUCCI III, DONALD					2 Social Security Number (b) (6)					3 Date of Birth (b) (6)					4 Effective Date 07-24-2017																		
<b>FIRST ACTION</b>										<b>SECOND ACTION</b>																							
5-A Code 170		5-B Nature of Action EXC APPT								6-A Code		6-B Nature of Action																					
5-C Code Y7M		5-D Legal Authority SCH C 213 3301								6-C Code		6-D Legal Authority																					
5-E Code		5-F. Legal Authority								6-E Code		6-F. Legal Authority																					
7 FROM: Position Title and Number										15 TO: Position Title and Number ADVANCE REPRESENTATIVE 66086702 07780																							
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan GS		17 Occ Code 0301		18 Grade or Level 09		19 Step or Rate 01		20 Total Salary \$54,972.00		21 Pay Basis PA											
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$43,251.00		20B Locality Adj \$11,721.00		20C Adj Basic Pay \$54,972.00		20D Other Pay .00																			
14 Name and Location of Position's Organization										22 Name and Location of Position's Organization DEPARTMENTAL OFFICES OFFICE OF THE CHIEF OF STAFF  TR 91030000000000000000 PP 16 2017																							
<b>EMPLOYEE DATA</b>																																	
23 Veterans Preference										24 Tenure					25 Agency Use			26 Veterans Preference for RIF															
1 - None (b) (6) 2 - 5 Point										3 - 10 Point/Disability 4 - 10 Point/Compensable					5 - 10 Point/Other 6 - 10 Point/Compensable/30%					0 - None (b) (6) 1 - Permanent 3 - Indefinite					2 - Conditional 2 - Conditional			YES X NO					
27 FEGLI (b) (6)										28 Annuitant Indicator 9 NOT APPLICABLE					29 Pay Rate Determinant 0																		
30 Retirement Plan (b) (6)										31 Service Comp Date (Leave) (b) (6)					32 Work Schedule F FULL TIME					33 Part-Time Hours Per Biweekly Pay Period													
<b>POSITION DATA</b>																																	
34 Position Occupied										35 FLSA Category					36 Appropriation Code					37 Bargaining Unit Status													
1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved 2										E - Exempt N - Nonexempt E										8888													
38 Duty Station Code 11-0010-001										39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC																							
40 Agency Data		41		42		43		44																									
45. Remarks (b) (6) APPOINTMENT AFFIDAVIT EXECUTED 07/24/2017. (b) (6) APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. OPF MAINTAINED BY: BUREAU OF THE FISCAL SERVICE, 200 THIRD STREET, PARKERSBURG, WV 26106.																																	
46 Employing Department or Agency DEPARTMENT OF THE TREASURY										50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES																							
47 Agency Code TR 91		48 Personnel Office ID 2731		49 Approval Date 07-26-2017																													

Editions Prior to 7/91 Are Not Usable After 6/30/93

NSN 7540-01-333-6236

2 - OPF Copy - Long-Term Record -- DO NOT DESTROY

## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) DANKER, RICHARD GEORGE				2 Social Security Number (b) (6)		3 Date of Birth (b) (6)		4 Effective Date 04-29-2018																					
<b>FIRST ACTION</b>						<b>SECOND ACTION</b>																							
5-A Code 170		5-B Nature of Action EXC APPT				6-A Code		6-B Nature of Action																					
5-C Code Y7M		5-D Legal Authority SCH C 213 3301				6-C Code		6-D Legal Authority																					
5-E Code		5-F. Legal Authority				6-E Code		6-F. Legal Authority																					
7 FROM: Position Title and Number						15 TO: Position Title and Number SR. ADVISOR TO THE DAS, FSOC 66147243 00794																							
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan GS		17 Occ Code 0301		18 Grade or Level 15		19 Step or Rate 02		20 Total Salary \$139,282.00		21 Pay Basis PA							
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$108,627.00		20B Locality Adj \$30,655.00		20C Adj Basic Pay \$139,282.00		20D Other Pay .00															
14 Name and Location of Position's Organization						22 Name and Location of Position's Organization DEPARTMENTAL OFFICES UNDER SECY DOMESTIC FINANCE FINANC STABL OVERSIGHT COUNCIL  TR 910607000000000000 PP 09 2018																							
<b>EMPLOYEE DATA</b>																													
23 Veterans Preference 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other (b) (6) 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%												24 Tenure 0 - None 2 - Conditional (b) (6) 1 - Permanent 3 - Indefinite				25 Agency Use		26 Veterans Preference for RIF YES X NO											
27 FEGLI (b) (6)												28 Annuitant Indicator 9 NOT APPLICABLE						29 Pay Rate Determinant 0											
30 Retirement Plan (b) (6)												31 Service Comp Date (Leave) (b) (6)						32 Work Schedule F FULL TIME						33 Part-Time Hours Per Biweekly Pay Period					
<b>POSITION DATA</b>																													
34 Position Occupied 1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved 2												35 FLSA Category E - Exempt N - Nonexempt E				36 Appropriation Code						37 Bargaining Unit Status 8888							
38 Duty Station Code 11-0010-001												39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC																	
40 Agency Data				41				42				43				44													
45. Remarks (b) (6) APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 4/30/2018. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET PARKERSBURG, WV 26106 (b) (6) (b) (6) (b) (6)																													
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES																	
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 05-01-2018																					

Editions Prior to 7/91 Are Not Usable After 6/30/93  
NSN 7540-01-333-6236

2 - OPF Copy - Long-Term Record -- DO NOT DESTROY

## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) EISNER, DAVID FARRELL				2 Social Security Number (b) (6)				3 Date of Birth (b) (6)				4 Effective Date 04-30-2018											
<b>FIRST ACTION</b>								<b>SECOND ACTION</b>															
5-A Code 170		5-B Nature of Action EXC APPT						6-A Code		6-B Nature of Action													
5-C Code ZNM		5-D Legal Authority USC TITLE 31 SEC 301						6-C Code		6-D Legal Authority													
5-E Code		5-F. Legal Authority						6-E Code		6-F. Legal Authority													
7 FROM: Position Title and Number								15 TO: Position Title and Number ASSISTANT SECRETARY FOR MANAGEMENT 66138318 D00017															
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan EX		17 Occ Code 0301		18 Grade or Level 04		19 Step or Rate 00		20 Total Salary \$155,500.00		21 Pay Basis PA	
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$155,500.00		20B Locality Adj .00		20C Adj Basic Pay \$155,500.00		20D Other Pay .00									
14 Name and Location of Position's Organization								22 Name and Location of Position's Organization DEPARTMENTAL OFFICES ASST SECRETARY FOR MGMT/CFO  TR 910900000000000000 PP 09 2018															
<b>EMPLOYEE DATA</b>																							
23 Veterans Preference (b) (6) 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other (b) (6) 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%												24 Tenure (b) (6) 0 - None 2 - Conditional (b) (6) 1 - Permanent 3 - Indefinite				25 Agency Use		26 Veterans Preference for RIF YES X NO					
27 FEGLI (b) (6)												28 Annuitant Indicator 9 NOT APPLICABLE								29 Pay Rate Determinant T			
30 Retirement Plan (b) (6)								31 Service Comp Date (Leave) (b) (6)								32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period			
<b>POSITION DATA</b>																							
34 Position Occupied 2 1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved								35 FLSA Category E E - Exempt N - Nonexempt				36 Appropriation Code								37 Bargaining Unit Status 8888			
38 Duty Station Code 11-0010-001								39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC															
40 Agency Data				41				42				43				44							
45. Remarks APPOINTMENT AFFIDAVIT EXECUTED OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6) (b) (6) (b) (6)																							
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES											
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 05-02-2018															

Editions Prior to 7/91 Are Not Usable After 6/30/93  
NSN 7540-01-333-6236



## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) HARTER III, LAFAYETTE GEORGE				2 Social Security Number (b) (6)				3 Date of Birth (b) (6)				4 Effective Date 09-05-2017																			
<b>FIRST ACTION</b>												<b>SECOND ACTION</b>																			
5-A Code 146				5-B Nature of Action SES NONCAREER APPT								6-A Code				6-B Nature of Action															
5-C Code V4L				5-D Legal Authority 5 USC 3394(A)								6-C Code				6-D Legal Authority															
5-E Code AWM				5-F Legal Authority OPM FORM 1652								6-E Code				6-F Legal Authority															
7 FROM: Position Title and Number												15 TO: Position Title and Number DAS FOR INTERNATIONAL TAX POLICY 66089996 D00870																			
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan ES		17 Occ Code 0301		18 Grade or Level 00		19 Step or Rate 00		20 Total Salary \$140,000.00		21 Pay Basis PA									
12A Basic Pay .00				12B Locality Adj .00				12C Adj Basic Pay .00				12D Other Pay .00				20A Basic Pay \$140,000.00				20B Locality Adj .00				20C Adj Basic Pay \$140,000.00				20D Other Pay .00			
14 Name and Location of Position's Organization												22 Name and Location of Position's Organization DEPARTMENTAL OFFICES  ASST SECRETARY (TAX POLICY) DAS (TAX POLICY) TR 919933000100000000 PP 18 2017																			
<b>EMPLOYEE DATA</b>																															
23 Veterans Preference (b) (6) 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other (b) (6) 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%												24 Tenure (b) (6) 0 - None 2 - Conditional (b) (6) 1 - Permanent 3 - Indefinite				25 Agency Use		26 Veterans Preference for RIF YES X NO													
27 FEGLI (b) (6)												28 Annuitant Indicator 9 NOT APPLICABLE								29 Pay Rate Determinant 0											
30 Retirement Plan (b) (6)												31 Service Comp Date (Leave) (b) (6)				32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period											
<b>POSITION DATA</b>																															
34 Position Occupied 3 1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved								35 FLSA Category E E - Exempt N - Nonexempt				36 Appropriation Code								37 Bargaining Unit Status 8888											
38 Duty Station Code 11-0010-001								39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC																							
40 Agency Data				41				42				43				44															
45. Remarks APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 9/5/2017. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6) (b) (6) (b) (6)																															
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES																			
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 09-07-2017																							

Editions Prior to 7/91 Are Not Usable After 6/30/93  
NSN 7540-01-333-6236

2 - OPF Copy - Long-Term Record -- DO NOT DESTROY

## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) HOWELL, JOSEPH BRADY				2 Social Security Number (b) (6)		3 Date of Birth (b) (6)		4 Effective Date 02-11-2018																			
<b>FIRST ACTION</b>						<b>SECOND ACTION</b>																					
5-A Code 170		5-B Nature of Action EXC APPT				6-A Code		6-B Nature of Action																			
5-C Code Y7M		5-D Legal Authority SCH C 213 3301				6-C Code		6-D Legal Authority																			
5-E Code		5-F Legal Authority				6-E Code		6-F Legal Authority																			
7 FROM: Position Title and Number						15 TO: Position Title and Number SENIOR ADVISOR 66126567 00788																					
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan GS		17 Occ Code 0301		18 Grade or Level 15		19 Step or Rate 01		20 Total Salary \$134,789.00		21 Pay Basis PA					
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$105,123.00		20B Locality Adj \$29,666.00		20C Adj Basic Pay \$134,789.00		20D Other Pay .00													
14 Name and Location of Position's Organization						22 Name and Location of Position's Organization DEPARTMENTAL OFFICES  ASST SECRETARY (LEG AFRS)  TR 919927000000000000 PP 03 2018																					
<b>EMPLOYEE DATA</b>																											
23 Veterans Preference 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other (b) (6) 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%												24 Tenure 0 - None 2 - Conditional (b) (6) 1 - Permanent 3 - Indefinite				25 Agency Use		26 Veterans Preference for RIF YES X NO									
27 FEGLI (b) (6)												28 Annuitant Indicator 9 NOT APPLICABLE								29 Pay Rate Determinant 0							
30 Retirement Plan (b) (6)												31 Service Comp Date (Leave) (b) (6)								32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period			
<b>POSITION DATA</b>																											
34 Position Occupied 1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved 2 E												35 FLSA Category E - Exempt N - Nonexempt E				36 Appropriation Code				37 Bargaining Unit Status 8888							
38 Duty Station Code 11-0010-001												39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC															
40 Agency Data				41				42				43				44											
45. Remarks (b) (6) APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 2/12/2018. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET, PARKERSBURG, WV 26106 (b) (6) (b) (6) (b) (6) (b) (6)																											
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES															
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 02-13-2018																			

Editions Prior to 7/91 Are Not Usable After 6/30/93  
NSN 7540-01-333-6236

2 - OPF Copy - Long-Term Record -- DO NOT DESTROY

**NOTIFICATION OF PERSONNEL ACTION**

1 Name (Last, First, Middle) JURATA, REBEKAH GOSHORN				2 Social Security Number (b) (6)		3 Date of Birth (b) (6)		4 Effective Date 02-25-2018			
<b>FIRST ACTION</b>					<b>SECOND ACTION</b>						
5-A Code 721		5-B Nature of Action REASSIGNMENT			6-A Code		6-B Nature of Action				
5-C Code N2M		5-D Legal Authority REG 335 102			6-C Code		6-D Legal Authority				
5-E Code		5-F. Legal Authority			6-E Code		6-F. Legal Authority				
7 FROM: Position Title and Number DAS FOR INTERNATIONAL FINANCIAL STABIL 66090006 D03544					15 TO: Position Title and Number DAS, INTERNATIONAL FINANCIAL MARKETS 66137610 D04544						
8 Pay Plan	9 Occ Code	10 Grade or Level	11 Step or Rate	12 Total Salary .00	13 Pay Basis	16 Pay Plan ES	17 Occ Code 0301	18 Grade or Level 00	19 Step or Rate 00	20 Total Salary \$140,000.00	21 Pay Basis PA
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00	12D Other Pay .00	20A Basic Pay \$140,000.00		20B Locality Adj .00		20C Adj Basic Pay \$140,000.00	20D Other Pay .00
14 Name and Location of Position's Organization					22 Name and Location of Position's Organization DEPARTMENTAL OFFICES UNDER SECRETARY (IA)  TR 910700000000000000 PP 04 2018						
<b>EMPLOYEE DATA</b>											
23 Veterans Preference 1 – None      3 – 10 Point/Disability      5 – 10 Point/Other (b) (6) 2 – 5 Point      4 – 10 Point/Compensable      6 – 10 Point/Compensable/30%					24 Tenure 0 – None      2 - Conditional (b) (6) 1 – Permanent      3 - Indefinite		25 Agency Use		26 Veterans Preference for RIF YES      X      NO		
27 FEGLI (b) (6)					28 Annuitant Indicator 9 NOT APPLICABLE			29 Pay Rate Determinant 0			
30 Retirement Plan (b) (6)			31 Service Comp Date (Leave) (b) (6)		32 Work Schedule F FULL TIME			33 Part-Time Hours Per Biweekly Pay Period			
<b>POSITION DATA</b>											
34 Position Occupied 1 – Competitive Service      3 – SES General 3 2 – Excepted Service      4 – SES Career Reserved				35 FLSA Category E – Exempt E N – Nonexempt		36 Appropriation Code			37 Bargaining Unit Status 8888		
38 Duty Station Code 11-0010-001				39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC							
40 Agency Data		41		42		43		44			
45. Remarks POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. OPF MAINTAINED BY BUREAU OF FISCAL SERVICE 200 3RD STREET PARKERSBURG WV 26106.											
46 Employing Department or Agency DEPARTMENT OF THE TREASURY						50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES					
47 Agency Code TR 91		48 Personnel Office ID 2731		49 Approval Date 02-27-2018							

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NSN 7540-01-333-6236

Editions Prior to 7/91 Are Not Usable After 6/30/93  
NSN 7540-01-333-6236

## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) KAUTTER, DAVID J				2 Social Security Number (b) (6)				3 Date of Birth (b) (6)				4 Effective Date 08-16-2017											
<b>FIRST ACTION</b>								<b>SECOND ACTION</b>															
5-A Code 170		5-B Nature of Action EXC APPT						6-A Code		6-B Nature of Action													
5-C Code ZNM		5-D Legal Authority PRES/SEN APPT LAW EO						6-C Code		6-D Legal Authority													
5-E Code		5-F Legal Authority						6-E Code		6-F Legal Authority													
7 FROM: Position Title and Number								15 TO: Position Title and Number ASSISTANT SECRETARY FOR TAX POLICY 66096518 00008															
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan EX		17 Occ Code 0301		18 Grade or Level 04		19 Step or Rate 00		20 Total Salary \$161,900.00		21 Pay Basis PA	
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$161,900.00		20B Locality Adj .00		20C Adj Basic Pay \$161,900.00		20D Other Pay .00									
14 Name and Location of Position's Organization								22 Name and Location of Position's Organization DEPARTMENTAL OFFICES  ASST SECRETARY (TAX POLICY)  TR 919933000000000000 PP 16 2017															
<b>EMPLOYEE DATA</b>																							
23 Veterans Preference 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other (b) (6) 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%								24 Tenure 0 - None 2 - Conditional (b) (6) 1 - Permanent 3 - Indefinite				25 Agency Use		26 Veterans Preference for RIF YES X NO									
27 FEGLI (b) (6)								28 Annuitant Indicator 9 NOT APPLICABLE				29 Pay Rate Determinant T											
30 Retirement Plan (b) (6)								31 Service Comp Date (Leave) (b) (6)				32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period							
<b>POSITION DATA</b>																							
34 Position Occupied 1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved 2 E								35 FLSA Category E - Exempt N - Nonexempt E				36 Appropriation Code				37 Bargaining Unit Status 8888							
38 Duty Station Code 11-0010-001								39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC															
40 Agency Data				41				42				43				44							
45. Remarks APPOINTED BY THE PRESIDENT WITH THE ADVISE AND CONSENT OF THE SENATE. INELIGIBLE FOR LEAVE. APPOINTMENT AFFIDAVIT EXECUTED 8/16/2017. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6)  THE PAY RATE OF AN EMPLOYEE OCCUPYING A POSITION SUBJECT TO THE PAY FREEZE FOR CERTAIN SENIOR POLITICAL OFFICIALS SHALL BE BASED ON THE RATE OF PAY AND APPLICABLE PAY LIMITATIONS IN EFFECT ON DECEMBER 31, 2013.																							
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES											
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 08-18-2017															

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## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) MALONEY, ANDREW KERWIN				2 Social Security Number (b) (6)		3 Date of Birth (b) (6)		4 Effective Date 08-14-2017							
<b>FIRST ACTION</b>				<b>SECOND ACTION</b>											
5-A Code 170		5-B Nature of Action EXC APPT				6-A Code		6-B Nature of Action							
5-C Code ZNM		5-D Legal Authority PRES/SEN APPT LAW EO				6-C Code		6-D Legal Authority							
5-E Code		5-F. Legal Authority				6-E Code		6-F. Legal Authority							
7 FROM: Position Title and Number						15 TO: Position Title and Number A/S FOR LEGISLATIVE AFFAIRS 66096511 00007									
8 Pay Plan	9 Occ Code	10 Grade or Level	11 Step or Rate	12 Total Salary .00	13 Pay Basis	16 Pay Plan EX	17 Occ Code 0301	18 Grade or Level 04	19 Step or Rate 00	20 Total Salary \$161,900.00	21 Pay Basis PA				
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$161,900.00		20B Locality Adj .00		20C Adj Basic Pay \$161,900.00		20D Other Pay .00	
14 Name and Location of Position's Organization						22 Name and Location of Position's Organization DEPARTMENTAL OFFICES  ASST SECRETARY (LEG AFRS)  TR 919927000000000000 PP 16 2017									
<b>EMPLOYEE DATA</b>															
23 Veterans Preference (b) (6) 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other (b) (6) 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%						24 Tenure (b) (6) 0 - None 2 - Conditional (b) (6) 1 - Permanent 3 - Indefinite		25 Agency Use		26 Veterans Preference for RIF YES X NO					
27 FEGLI (b) (6)						28 Annuitant Indicator 9 NOT APPLICABLE				29 Pay Rate Determinant T					
30 Retirement Plan (b) (6)				31 Service Comp Date (Leave) (b) (6)		32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period					
<b>POSITION DATA</b>															
34 Position Occupied 2 1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved				35 FLSA Category E E - Exempt N - Nonexempt		36 Appropriation Code				37 Bargaining Unit Status 8888					
38 Duty Station Code 11-0010-001				39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC											
40 Agency Data		41		42		43		44							
45. Remarks APPOINTED BY THE PRESIDENT WITH THE ADVISE AND CONSENT OF THE SENATE. INELIGIBLE FOR LEAVE. OINMENT AFFIDAVIT EXECUTED 8/14/2017. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6) (b) (6) THE PAY RATE OF AN EMPLOYEE OCCUPYING A POSITION SUBJECT TO THE PAY FREEZE FOR CERTAIN SENIOR POLITICAL OFFICIALS SHALL BE BASED ON THE RATE OF PAY AND APPLICABLE PAY LIMITATIONS IN EFFECT ON DECEMBER 31, 2013.															
46 Employing Department or Agency DEPARTMENT OF THE TREASURY						50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES									
47 Agency Code TR 91		48 Personnel Office ID 2731		49 Approval Date 08-16-2017											

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**NOTIFICATION OF PERSONNEL ACTION**

1 Name (Last, First, Middle) MALPASS, DAVID ROBERT				2 Social Security Number (b) (6)				3 Date of Birth (b) (6)				4 Effective Date 08-09-2017											
<b>FIRST ACTION</b>								<b>SECOND ACTION</b>															
5-A Code 170		5-B Nature of Action EXC APPT						6-A Code		6-B Nature of Action													
5-C Code ZNM		5-D Legal Authority PRES/SEN APPT LAW EO						6-C Code		6-D Legal Authority													
5-E Code		5-F Legal Authority						6-E Code		6-F Legal Authority													
7 FROM: Position Title and Number								15 TO: Position Title and Number U/S FOR INTERNATIONAL AFFAIRS 66096505 00003															
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan EX		17 Occ Code 0301		18 Grade or Level 03		19 Step or Rate 00		20 Total Salary \$172,100.00		21 Pay Basis PA	
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$172,100.00		20B Locality Adj .00		20C Adj Basic Pay \$172,100.00		20D Other Pay .00									
14 Name and Location of Position's Organization								22 Name and Location of Position's Organization DEPARTMENTAL OFFICES UNDER SECRETARY (IA)  TR 91070000000000000000 PP 16 2017															
<b>EMPLOYEE DATA</b>																							
23 Veterans Preference 1 – None      3 – 10 Point/Disability      5 – 10 Point/Other (b) (6) 2 – 5 Point      4 – 10 Point/Compensable      6 – 10 Point/Compensable/30%												24 Tenure 0 – None      2 – Conditional (b) (6) 1 – Permanent      3 – Indefinite				25 Agency Use		26 Veterans Preference for RIF YES      X      NO					
27 FEGLI (b) (6)												28 Annuitant Indicator 9 NOT APPLICABLE								29 Pay Rate Determinant T			
30 Retirement Plan (b) (6)								31 Service Comp Date (Leave) (b) (6)								32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period			
<b>POSITION DATA</b>																							
34 Position Occupied 1 – Competitive Service      3 – SES General 2 – Excepted Service      4 – SES Career Reserved 2								35 FLSA Category E – Exempt N – Nonexempt E				36 Appropriation Code								37 Bargaining Unit Status 8888			
38 Duty Station Code 11-0010-001								39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC															
40 Agency Data				41				42				43				44							
45. Remarks APPOINTED BY THE PRESIDENT WITH THE ADVISE AND CONSENT OF THE SENATE. INELIGIBLE FOR LEAVE. APPOINTMENT AFFIDAVIT EXECUTED 8/09/2017. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6)  THE PAY RATE OF AN EMPLOYEE OCCUPYING A POSITION SUBJECT TO THE PAY FREEZE FOR CERTAIN SENIOR POLITICAL OFFICIALS SHALL BE BASED ON THE RATE OF PAY AND APPLICABLE PAY LIMITATIONS IN EFFECT ON DECEMBER 31, 2013.																							
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES											
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 08-11-2017															

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## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) MCINTOSH, BRENT JAMES				2 Social Security Number (b) (6)		3 Date of Birth (b) (6)		4 Effective Date 08-16-2017																							
<b>FIRST ACTION</b>				<b>SECOND ACTION</b>																											
5-A Code 170		5-B Nature of Action EXC APPT				6-A Code		6-B Nature of Action																							
5-C Code ZNM		5-D Legal Authority PRES/SEN APPT LAW EO				6-C Code		6-D Legal Authority																							
5-E Code		5-F Legal Authority				6-E Code		6-F Legal Authority																							
7 FROM: Position Title and Number						15 TO: Position Title and Number GENERAL COUNSEL 66096515 00005																									
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan EX		17 Occ Code 0905		18 Grade or Level 04		19 Step or Rate 00		20 Total Salary \$161,900.00		21 Pay Basis PA									
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$161,900.00		20B Locality Adj .00		20C Adj Basic Pay \$161,900.00		20D Other Pay .00																	
14 Name and Location of Position's Organization						22 Name and Location of Position's Organization DEPARTMENTAL OFFICES  OFC OF THE GENERAL COUNSEL  TR 919925000000000000 PP 16 2017																									
<b>EMPLOYEE DATA</b>																															
23 Veterans Preference						24 Tenure						25 Agency Use		26 Veterans Preference for RIF																	
1 - None (b) (6) 2 - 5 Point						3 - 10 Point/Disability 4 - 10 Point/Compensable						5 - 10 Point/Other 6 - 10 Point/Compensable/30%						0 - None (b) (6) 1 - Permanent 3 - Indefinite								YES		X		NO	
27 FEGLI (b) (6)						28 Annuitant Indicator 9 NOT APPLICABLE						29 Pay Rate Determinant T																			
30 Retirement Plan (b) (6)						31 Service Comp Date (Leave) (b) (6)						32 Work Schedule F FULL TIME						33 Part-Time Hours Per Biweekly Pay Period													
<b>POSITION DATA</b>																															
34 Position Occupied						35 FLSA Category						36 Appropriation Code						37 Bargaining Unit Status													
1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved 2						E - Exempt N - Nonexempt E												8888													
38 Duty Station Code 11-0010-001						39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC																									
40 Agency Data						41						42						43						44							
45. Remarks APPOINTED BY THE PRESIDENT WITH THE ADVISE AND CONSENT OF THE SENA INELIGIBLE FOR LEAVE. APPOINTMENT AFFIDAVIT EXECUTED 8/16/2017. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6)  THE PAY RATE OF AN EMPLOYEE OCCUPYING A POSITION SUBJECT TO THE PAY FREEZE FOR CERTAIN SENIOR POLITICAL OFFICIALS SHALL BE BASED ON THE RATE OF PAY AND APPLICABLE PAY LIMITATIONS IN EFFECT ON DECEMBER 31, 2013.																															
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES																			
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 08-18-2017																							

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**NOTIFICATION OF PERSONNEL ACTION**

1 Name (Last, First, Middle) MORGENSTERN, BRIAN ROBERT					2 Social Security Number (b) (6)					3 Date of Birth (b) (6)					4 Effective Date 08-21-2017									
<b>FIRST ACTION</b>										<b>SECOND ACTION</b>														
5-A Code 170		5-B Nature of Action EXC APPT								6-A Code		6-B Nature of Action												
5-C Code Y7M		5-D Legal Authority SCH C 213 3301								6-C Code		6-D Legal Authority												
5-E Code		5-F. Legal Authority								6-E Code		6-F. Legal Authority												
7 FROM: Position Title and Number										15 TO: Position Title and Number SENIOR ADVISOR 66086226 00779														
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan GS		17 Occ Code 0301		18 Grade or Level 12		19 Step or Rate 01		20 Total Salary \$79,720.00		21 Pay Basis PA		
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$62,722.00		20B Locality Adj \$16,998.00		20C Adj Basic Pay \$79,720.00		20D Other Pay .00										
14 Name and Location of Position's Organization										22 Name and Location of Position's Organization DEPARTMENTAL OFFICES  ASST SECRETARY (PUB AFRS)  TR 919932000000000000 PP 17 2017														
<b>EMPLOYEE DATA</b>																								
23 Veterans Preference										24 Tenure					25 Agency Use			26 Veterans Preference for RIF						
(b) (6)		1 - None		3 - 10 Point/Disability		5 - 10 Point/Other		(b) (6)		0 - None		2 - Conditional						YES		X		NO		
(b) (6)		2 - 5 Point		4 - 10 Point/Compensable		6 - 10 Point/Compensable/30%		(b) (6)		1 - Permanent		3 - Indefinite												
27 FEGLI (b) (6)										28 Annuitant Indicator 9 NOT APPLICABLE					29 Pay Rate Determinant 0									
30 Retirement Plan (b) (6)					31 Service Comp Date (Leave) (b) (6)					32 Work Schedule F FULL TIME					33 Part-Time Hours Per Biweekly Pay Period									
<b>POSITION DATA</b>																								
34 Position Occupied										35 FLSA Category					36 Appropriation Code					37 Bargaining Unit Status				
2		1 - Competitive Service		3 - SES General		2 - Excepted Service		4 - SES Career Reserved		E		E - Exempt		N - Nonexempt							8888			
38 Duty Station Code 11-0010-001										39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC														
40 Agency Data				41				42				43				44								
45. Remarks APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 8/21/2017 OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6) (b) (6) (b) (6)																								
46 Employing Department or Agency DEPARTMENT OF THE TREASURY										50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES														
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 08-23-2017																

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UST 000142

TREAS-17-0563-A-000142



## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) PERRY III, GERALD STEPHEN				2 Social Security Number (b) (6)		3 Date of Birth (b) (6)		4 Effective Date 02-20-2018			
<b>FIRST ACTION</b>				<b>SECOND ACTION</b>							
5-A Code 170		5-B Nature of Action EXC APPT		6-A Code		6-B Nature of Action					
5-C Code Y7M		5-D Legal Authority SCH C 213 3301		6-C Code		6-D Legal Authority					
5-E Code		5-F. Legal Authority		6-E Code		6-F. Legal Authority					
7 FROM: Position Title and Number				15 TO: Position Title and Number ACQ SPECLST 66125348 00787							
8 Pay Plan	9 Occ Code	10 Grade or Level	11 Step or Rate	12 Total Salary .00	13 Pay Basis	16 Pay Plan	17 Occ Code 0301	18 Grade or Level 09	19 Step or Rate 01	20 Total Salary \$56,233.00	21 Pay Basis PA
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$43,857.00		20B Locality Adj \$12,376.00	
								20C Adj Basic Pay \$56,233.00		20D Other Pay .00	
14 Name and Location of Position's Organization				22 Name and Location of Position's Organization DEPARTMENTAL OFFICES  ASST SECRETARY (PUB AFRS)  TR 919932000000000000 PP 04 2018							
<b>EMPLOYEE DATA</b>											
23 Veterans Preference				24 Tenure				25 Agency Use		26 Veterans Preference for RIF	
1 - None 3 - 10 Point/Disability 5 - 10 Point/Other (b) (6) 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%				0 - None 2 - Conditional (b) (6) 1 - Permanent 3 - Indefinite						YES X NO	
27 FEGLI (b) (6)				28 Annuitant Indicator (b) (6) NOT APPLICABLE				29 Pay Rate Determinant 0			
30 Retirement Plan (b) (6)				31 Service Comp Date (Leave) (b) (6)				32 Work Schedule F FULL TIME		33 Part-Time Hours Per Biweekly Pay Period	
<b>POSITION DATA</b>											
34 Position Occupied				35 FLSA Category		36 Appropriation Code			37 Bargaining Unit Status		
1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved 2				E - Exempt N - Nonexempt E					8888		
38 Duty Station Code 11-0010-001				39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC							
40 Agency Data		41		42		43		44			
45. Remarks APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED OPF MAINTAINED BY (b) (6) (b) (6) (b) (6)											
46 Employing Department or Agency DEPARTMENT OF THE TREASURY						50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES					
47 Agency Code TR 91		48 Personnel Office ID 2731		49 Approval Date 02-22-2018							

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UST 000143

TREAS-17-0563-A-000143

## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) PHELAN, PETER MICHAEL				2 Social Security Number (b) (6)		3 Date of Birth (b) (6)		4 Effective Date 04-16-2018																	
<b>FIRST ACTION</b>				<b>SECOND ACTION</b>																					
5-A Code 146		5-B Nature of Action SES NONCAREER APPT				6-A Code		6-B Nature of Action																	
5-C Code V4L		5-D Legal Authority 5 USC 3394(A)				6-C Code		6-D Legal Authority																	
5-E Code AWM		5-F Legal Authority OPM FORM 1652				6-E Code		6-F Legal Authority																	
7 FROM: Position Title and Number						15 TO: Position Title and Number DEPUTY ASSISTANT SECRETARY (CAPITAL MA 66122480 D02810																			
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan ES		17 Occ Code 0301		18 Grade or Level 00		19 Step or Rate 00		20 Total Salary \$140,000.00		21 Pay Basis PA			
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$140,000.00		20B Locality Adj .00		20C Adj Basic Pay \$140,000.00		20D Other Pay .00											
14 Name and Location of Position's Organization						22 Name and Location of Position's Organization DEPARTMENTAL OFFICES UNDER SECY DOMESTIC FINANCE ASST SECRETARY (FIN MARKETS) DAS CAPITAL MARKETS TR 910602000300000000 PP 08 2018																			
<b>EMPLOYEE DATA</b>																									
23 Veterans Preference 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other (b) (6) 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%												24 Tenure 0 - None 2 - Conditional (b) (6) 1 - Permanent 3 - Indefinite				25 Agency Use		26 Veterans Preference for RIF YES X NO							
27 FEGLI (b) (6)												28 Annuitant Indicator 9 NOT APPLICABLE				29 Pay Rate Determinant 0									
30 Retirement Plan (b) (6)												31 Service Comp Date (Leave) (b) (6)				32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period					
<b>POSITION DATA</b>																									
34 Position Occupied 1 - Competitive Service 3 - SES General 3 2 - Excepted Service 4 - SES Career Reserved						35 FLSA Category E - Exempt E N - Nonexempt						36 Appropriation Code						37 Bargaining Unit Status 8888							
38 Duty Station Code 11-0010-001						39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC																			
40 Agency Data				41				42				43				44									
45. Remarks APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 4/16/2018. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET A2-A PARKERSBURG, WV 26106. (b) (6)																									
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES													
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 04-18-2018																	

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UST 000144

TREAS-17-0563-A-000144



## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) SILK, MITCHELL ALLEN				2 Social Security Number (b) (6)		3 Date of Birth (b) (6)		4 Effective Date 03-04-2018			
<b>FIRST ACTION</b>					<b>SECOND ACTION</b>						
5-A Code 721		5-B Nature of Action REASSIGNMENT			6-A Code		6-B Nature of Action				
5-C Code V9M		5-D Legal Authority 5 USC 3395(D)(1)			6-C Code		6-D Legal Authority				
5-E Code AWM		5-F. Legal Authority			6-E Code		6-F. Legal Authority				
7 FROM: Position Title and Number DAS FOR INTERNATIONAL AFFAIRS (ENERGY) 66077789 D03529					15 TO: Position Title and Number DAS, INVESTMENT, ENERGY AND INFRASTRUC 66137609 D04529						
8 Pay Plan	9 Occ Code	10 Grade or Level	11 Step or Rate	12 Total Salary .00	13 Pay Basis	16 Pay Plan ES	17 Occ Code 0110	18 Grade or Level 00	19 Step or Rate 00	20 Total Salary \$150,000.00	21 Pay Basis PA
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00	12D Other Pay .00	20A Basic Pay \$150,000.00		20B Locality Adj .00		20C Adj Basic Pay \$150,000.00	20D Other Pay .00
14 Name and Location of Position's Organization					22 Name and Location of Position's Organization DEPARTMENTAL OFFICES UNDER SECRETARY (IA) ASST SEC INT'L MRKS & DEV (IA) DAS ENERGY & ENVIRONMENT TR 910701000900000000 PP 05 2018						
<b>EMPLOYEE DATA</b>											
23 Veterans Preference (b) (6) 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other (b) (6) 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%					24 Tenure (b) (6) 0 - None 2 - Conditional (b) (6) 1 - Permanent 3 - Indefinite			25 Agency Use		26 Veterans Preference for RIF YES X NO	
27 FEGLI (b) (6)					28 Annuitant Indicator 9 NOT APPLICABLE				29 Pay Rate Determinant 0		
30 Retirement Plan (b) (6)					31 Service Comp Date (Leave) (b) (6)				32 Work Schedule F FULL TIME		
33 Part-Time Hours Per Biweekly Pay Period											
<b>POSITION DATA</b>											
34 Position Occupied 3 1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved				35 FLSA Category E Exempt N - Nonexempt		36 Appropriation Code			37 Bargaining Unit Status 8888		
38 Duty Station Code 11-0010-001				39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC							
40 Agency Data		41		42		43		44			
45. Remarks POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND.											
46 Employing Department or Agency DEPARTMENT OF THE TREASURY						50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES					
47 Agency Code TR 91		48 Personnel Office ID 2731		49 Approval Date 03-06-2018							

## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) SILK, MITCHELL ALLEN					2 Social Security Number		3 Date of Birth (b) (6)		4 Effective Date 10-16-2017		
<b>FIRST ACTION</b>					<b>SECOND ACTION</b>						
5-A Code 146		5-B Nature of Action SES NONCAREER APPT			6-A Code		6-B Nature of Action				
5-C Code V4L		5-D Legal Authority 5 USC 3394(A)			6-C Code		6-D Legal Authority				
5-E Code AWM		5-F. Legal Authority OPM FORM 1652			6-E Code		6-F. Legal Authority				
7 FROM: Position Title and Number					15 TO: Position Title and Number DAS FOR INTERNATIONAL AFFAIRS (ENERGY) 66077789 D03529						
8 Pay Plan	9 Occ Code	10 Grade or Level	11 Step or Rate	12 Total Salary .00	13 Pay Basis	16 Pay Plan ES	17 Occ Code 0110	18 Grade or Level 00	19 Step or Rate 00	20 Total Salary \$150,000.00	21 Pay Basis PA
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00	12D Other Pay .00	20A Basic Pay \$150,000.00		20B Locality Adj .00		20C Adj Basic Pay \$150,000.00	20D Other Pay .00
14 Name and Location of Position's Organization					22 Name and Location of Position's Organization DEPARTMENTAL OFFICES UNDER SECRETARY (IA) ASST SEC INT'L MRKS & DEV (IA) DAS ENERGY & ENVIRONMENT TR 910701000900000000 PP 21 2017						
<b>EMPLOYEE DATA</b>											
23 Veterans Preference (b) (6) 1 - None 2 - 5 Point 3 - 10 Point/Disability 4 - 10 Point/Compensable 5 - 10 Point/Other 6 - 10 Point/Compensable/30%					24 Tenure (b) (6) 0 - None 1 - Permanent 2 - Conditional 3 - Indefinite		25 Agency Use		26 Veterans Preference for RIF YES X NO		
27 FEGLI (b) (6)					28 Annuitant Indicator 9 NOT APPLICABLE				29 Pay Rate Determinant 0		
30 Retirement Plan (b) (6)			31 Service Comp Date (Leave) (b) (6)		32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period		
<b>POSITION DATA</b>											
34 Position Occupied 3 1 - Competitive Service 2 - Excepted Service 3 - SES General 4 - SES Career Reserved				35 FLSA Category E E - Exempt N - Nonexempt		36 Appropriation Code			37 Bargaining Unit Status 8888		
38 Duty Station Code 11-0010-001			39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC								
40 Agency Data		41		42		43		44			
45. Remarks APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED ON 10/16/2017. OPF MAINTAINED BY: BUREAU OF FISCAL SERVICE, 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6)											
46 Employing Department or Agency DEPARTMENT OF THE TREASURY						50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES					
47 Agency Code TR 91		48 Personnel Office ID 2731		49 Approval Date 10-18-2017							

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UST 000146

TREAS-17-0563-A-000146



## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) SOBCZAK, MARY ELLEN					2 Social Security Number		3 Date of Birth (b) (6)		4 Effective Date 10-10-2017		
<b>FIRST ACTION</b>					<b>SECOND ACTION</b>						
5-A Code 170		5-B Nature of Action EXC APPT			6-A Code		6-B Nature of Action				
5-C Code Y7M		5-D Legal Authority SCH C 213 3301			6-C Code		6-D Legal Authority				
5-E Code		5-F. Legal Authority			6-E Code		6-F. Legal Authority				
7 FROM: Position Title and Number					15 TO: Position Title and Number SPECIAL ASSISTANT 66102293 00783						
8 Pay Plan	9 Occ Code	10 Grade or Level	11 Step or Rate	12 Total Salary .00	13 Pay Basis	16 Pay Plan GS	17 Occ Code 0301	18 Grade or Level 07	19 Step or Rate 01	20 Total Salary \$44,941.00	21 Pay Basis PA
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00	12D Other Pay .00	20A Basic Pay \$35,359.00		20B Locality Adj \$9,582.00		20C Adj Basic Pay \$44,941.00	20D Other Pay .00
14 Name and Location of Position's Organization					22 Name and Location of Position's Organization DEPARTMENTAL OFFICES OFC OF THE EXECUTIVE SEC  TR 910400000000000000 PP 20 2017						
<b>EMPLOYEE DATA</b>											
23 Veterans Preference					24 Tenure			25 Agency Use		26 Veterans Preference for RIF	
<input type="checkbox"/> 1 - None      3 - 10 Point/Disability      5 - 10 Point/Other <input checked="" type="checkbox"/> 2 - 5 Point      4 - 10 Point/Compensable      6 - 10 Point/Compensable/30%					<input checked="" type="checkbox"/> 0 - None      2 - Conditional <input type="checkbox"/> 1 - Permanent      3 - Indefinite			<input type="checkbox"/> YES <input checked="" type="checkbox"/> X <input type="checkbox"/> NO			
27 FEGLI (b) (6)					28 Annuitant Indicator 9 NOT APPLICABLE			29 Pay Rate Determinant 0			
30 Retirement Plan (b) (6)					31 Service Comp Date (Leave) (b) (6)			32 Work Schedule F FULL TIME		33 Part-Time Hours Per Biweekly Pay Period	
<b>POSITION DATA</b>											
34 Position Occupied				35 FLSA Category		36 Appropriation Code			37 Bargaining Unit Status		
1 - Competitive Service      3 - SES General 2 - Excepted Service      4 - SES Career Reserved				<input type="checkbox"/> E - Exempt <input checked="" type="checkbox"/> N - Nonexempt					8888		
38 Duty Station Code 11-0010-001				39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC							
40 Agency Data		41		42		43		44			
45. Remarks APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 10/10/2017. OPF MAINTAINED BY: BUREAU OF THE FISCAL SERVICE, 200 THIRD STREET, PARKERSBURG, WV 26106. (b) (6) (b) (6)											
46 Employing Department or Agency DEPARTMENT OF THE TREASURY						50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES					
47 Agency Code TR 91		48 Personnel Office ID 2731		49 Approval Date 10-12-2017							

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UST 000147

TREAS-17-0563-A-000147

## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) TARBERT, HEATH PRICE					2 Social Security Number		3 Date of Birth (b) (6)		4 Effective Date 10-10-2017		
<b>FIRST ACTION</b>					<b>SECOND ACTION</b>						
5-A Code 170		5-B Nature of Action EXC APPT			6-A Code		6-B Nature of Action				
5-C Code ZNM		5-D Legal Authority USC TITLE31 SECT 301			6-C Code		6-D Legal Authority				
5-E Code		5-F. Legal Authority			6-E Code		6-F. Legal Authority				
7 FROM: Position Title and Number					15 TO: Position Title and Number ASSISTANT SECRETARY, INTERNATIONAL AFF 66105144 000024						
8 Pay Plan	9 Occ Code	10 Grade or Level	11 Step or Rate	12 Total Salary .00	13 Pay Basis	16 Pay Plan EX	17 Occ Code 0301	18 Grade or Level 04	19 Step or Rate 00	20 Total Salary \$155,500.00	21 Pay Basis PA
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00	12D Other Pay .00	20A Basic Pay \$155,500.00		20B Locality Adj .00		20C Adj Basic Pay \$155,500.00	20D Other Pay .00
14 Name and Location of Position's Organization					22 Name and Location of Position's Organization DEPARTMENTAL OFFICES UNDER SECRETARY (IA)  TR 91070000000000000000 PP 20 2017						
<b>EMPLOYEE DATA</b>											
23 Veterans Preference					24 Tenure			25 Agency Use		26 Veterans Preference for RIF	
1 - None 2 - 5 Point 3 - 10 Point/Disability 4 - 10 Point/Compensable 5 - 10 Point/Other 6 - 10 Point/Compensable/30%					0 - None 1 - Permanent 2 - Conditional 3 - Indefinite					YES X NO	
27 FEGLI (b) (6)					28 Annuitant Indicator 9 NOT APPLICABLE			29 Pay Rate Determinant T			
30 Retirement Plan (b) (6)				31 Service Comp Date (Leave) (b) (6)		32 Work Schedule F FULL TIME			33 Part-Time Hours Per Biweekly Pay Period		
<b>POSITION DATA</b>											
34 Position Occupied				35 FLSA Category		36 Appropriation Code			37 Bargaining Unit Status		
1 - Competitive Service 2 - Excepted Service 3 - SES General 4 - SES Career Reserved				E - Exempt N - Nonexempt E					8888		
38 Duty Station Code 11-0010-001				39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC							
40 Agency Data		41		42		43		44			
45. Remarks APPOINTED BY THE PRESIDENT WITH THE ADVICE AND CONCENT OF THE SENATE. INELIGIBLE FOR LEAVE. APPOINTMENT AFFIDAVIT EXECUTED 10/10/2017. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET A2-A PARKERSBURG, WV 26106. (b) (6) THE PAY RATE OF AN EMPLOYEE OCCUPYING A POSITION SUBJECT TO THE PAY FREEZE FOR CERTAIN SENIOR POLITICAL OFFICIALS SHALL BE BASED ON THE RATE OF PAY AND APPLICABLE PAY LIMITATIONS IN EFFECT ON DECEMBER 31, 2013.											
46 Employing Department or Agency DEPARTMENT OF THE TREASURY						50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES					
47 Agency Code TR 91		48 Personnel Office ID 2731		49 Approval Date 10-12-2017							

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## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) TYRRELL, KATHERINE SCHUYLER					2 Social Security Number		3 Date of Birth (b) (6)		4 Effective Date 02-04-2018							
<b>FIRST ACTION</b>					<b>SECOND ACTION</b>											
5-A Code 146		5-B Nature of Action SES NONCAREER APPT			6-A Code		6-B Nature of Action									
5-C Code V4L		5-D Legal Authority 5 USC 3394(A)			6-C Code		6-D Legal Authority									
5-E Code AWM		5-F Legal Authority OPM FORM 1652			6-E Code		6-F Legal Authority									
7 FROM: Position Title and Number					15 TO: Position Title and Number DEPUTY EXECUTIVE SECRETARY 66120227 05762											
8 Pay Plan		9 Occ Code	10 Grade or Level	11 Step or Rate	12 Total Salary .00		13 Pay Basis	16 Pay Plan ES		17 Occ Code 0301	18 Grade or Level 00	19 Step or Rate 00	20 Total Salary \$130,000.00		21 Pay Basis PA	
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$130,000.00		20B Locality Adj .00		20C Adj Basic Pay \$130,000.00		20D Other Pay .00		
14 Name and Location of Position's Organization					22 Name and Location of Position's Organization DEPARTMENTAL OFFICES OFC OF THE EXECUTIVE SEC  TR 910400000000000000 PP 03 2018											
<b>EMPLOYEE DATA</b>																
23 Veterans Preference					24 Tenure			25 Agency Use		26 Veterans Preference for RIF						
1 - None (b) (6) 2 - 5 Point					3 - 10 Point/Disability 4 - 10 Point/Compensable			5 - 10 Point/Other 6 - 10 Point/Compensable/30%			0 - None (b) (6) 1 - Permanent 3 - Indefinite		YES		X NO	
27 FEGLI (b) (6)					28 Annuitant Indicator 9 NOT APPLICABLE			29 Pay Rate Determinant 0								
30 Retirement Plan (b) (6)					31 Service Comp Date (Leave) (b) (6)			32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period				
<b>POSITION DATA</b>																
34 Position Occupied					35 FLSA Category			36 Appropriation Code				37 Bargaining Unit Status				
1 - Competitive Service 3 - SES General 3 2 - Excepted Service 4 - SES Career Reserved					E - Exempt E N - Nonexempt							8888				
38 Duty Station Code 11-0010-001					39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC											
40 Agency Data		41		42		43		44								
45. Remarks APPOINTMENT IS INDEFINITE. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 2/5/2018. OPF MAINTAINED BY BUREAU OF THE FISCAL SERVICE 200 THIRD STREET, PARKERSBURG, WV 26106 (b) (6)  TENURE AS USED FOR 5 USC 3502 IS NOT APPLICABLE TO THE SENIOR EXECUTIVE SERVICE.																
46 Employing Department or Agency DEPARTMENT OF THE TREASURY								50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES								
47 Agency Code TR 91		48 Personnel Office ID 2731		49 Approval Date 02-06-2018												

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## NOTIFICATION OF PERSONNEL ACTION

1 Name (Last, First, Middle) WORKMAN, THOMAS ELDON				2 Social Security Number		3 Date of Birth (b) (6)		4 Effective Date 03-29-2018																	
<b>FIRST ACTION</b>						<b>SECOND ACTION</b>																			
5-A Code 171		5-B Nature of Action EXC APPT NTE 03/28/24				6-A Code		6-B Nature of Action																	
5-C Code ZNM		5-D Legal Authority PL:1111 203				6-C Code		6-D Legal Authority																	
5-E Code		5-F. Legal Authority				6-E Code		6-F. Legal Authority																	
7 FROM: Position Title and Number						15 TO: Position Title and Number MEMBER, FINANCIAL STABILITY OVERSIGHT 66146491 012760																			
8 Pay Plan		9 Occ Code		10 Grade or Level		11 Step or Rate		12 Total Salary .00		13 Pay Basis		16 Pay Plan EX		17 Occ Code 0301		18 Grade or Level 03		19 Step or Rate 00		20 Total Salary \$165,300.00		21 Pay Basis PA			
12A Basic Pay .00		12B Locality Adj .00		12C Adj Basic Pay .00		12D Other Pay .00		20A Basic Pay \$165,300.00		20B Locality Adj .00		20C Adj Basic Pay \$165,300.00		20D Other Pay .00											
14 Name and Location of Position's Organization						22 Name and Location of Position's Organization DEPARTMENTAL OFFICES UNDER SECY DOMESTIC FINANCE  TR 910600000000000000 PP 07 2018																			
<b>EMPLOYEE DATA</b>																									
23 Veterans Preference (b) (6) 1 - None 3 - 10 Point/Disability 5 - 10 Point/Other 2 - 5 Point 4 - 10 Point/Compensable 6 - 10 Point/Compensable/30%												24 Tenure (b) (6) 0 - None 2 - Conditional 1 - Permanent 3 - Indefinite				25 Agency Use		26 Veterans Preference for RIF YES X NO							
27 FEGLI (b) (6)												28 Annuitant Indicator 9 NOT APPLICABLE				29 Pay Rate Determinant T									
30 Retirement Plan (b) (6)												31 Service Comp Date (Leave) (b) (6)				32 Work Schedule F FULL TIME				33 Part-Time Hours Per Biweekly Pay Period					
<b>POSITION DATA</b>																									
34 Position Occupied 2 1 - Competitive Service 3 - SES General 2 - Excepted Service 4 - SES Career Reserved						35 FLSA Category E E - Exempt N - Nonexempt						36 Appropriation Code						37 Bargaining Unit Status 8888							
38 Duty Station Code 11-0010-001						39 Duty Station (City-County-State or Overseas Location) WASHINGTON DIST OF COLUMBIA DC																			
40 Agency Data				41				42				43				44									
45. Remarks (b) (6)  OPF MAINTAINED BY: BUREAU OF THE FISCAL SERVICE, 200 THIRD STREET, PARKERSBURG, WV 26106. POSITION IS AT THE FULL PERFORMANCE LEVEL OR BAND. APPOINTMENT AFFIDAVIT EXECUTED 03/29/2018. REASON FOR TEMPORARY APPOINTMENT: ADMINISTRATIVE NEED. INELIGIBLE FOR LEAVE.																									
46 Employing Department or Agency DEPARTMENT OF THE TREASURY												50 Signature/Authentication and Title of Approving Official E/S BY: COLLEEN HELLER-STEIN DIRECTOR, OFFICE OF HUMAN RESOURCES													
47 Agency Code TR 91				48 Personnel Office ID 2731				49 Approval Date 03-31-2018																	

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1 - Employee Copy - Keep for Future Reference